

Report

**Mid-Term Review of LIFE-II and  
Assessment of the Namibia  
National CBNRM Programme**

October 2001

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Assessment of the Namibia  
National CBNRM Programme**

**Final Report**

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# Acronyms

AWF	African Wildlife Foundation
CASS	Centre for Applied Social Sciences, University of Zimbabwe
CBNRM	community-based natural resource management
CBO	community-based organization
CBTE	community-based tourism enterprise
CGG	community game guard
CRM	community resource monitor
DEA	Department of Environmental Affairs, MET
DFID	Department for International Development, UK
DOF	Directorate of Forestry
DRFN	Desert Research Foundation of Namibia
DRM	Department of Resource Management, MET
FENATA	Federation of Namibian Tourism Associations
FHI	Family Health International
FIRM	Forum for Integrated Resource Management
GPTF	Game Product Trust Fund
GRN	Government of the Republic of Namibia
IRDNC	Integrated Rural Development and Nature Conservation
LAC	Legal Assistance Centre
LIFE	Living in a Finite Environment, USAID/WWF
MAWRD	Ministry of Agriculture, Water and Rural Development
MET	Ministry of Environment and Tourism
MFMR	Ministry of Fisheries and Marine Resources
MLR	Ministry of Lands and Resettlement
MTI	Ministry of Trade and Industry
NACOBTA	Namibia Community-Based Tourism Association
NACSO	Namibian Association of CBNRM Support Organizations
NANGOF	Namibia Non-Governmental Organizations Forum
NAPCOD	Namibian Programme to Combat Desertification
NDT	Namibian Development Trust
NNDF	Nyae Nyae Development Foundation
NORAD	Norwegian Development Agency
NRM	natural resource management
PAC	problem animal control
PLASS	Programme for Land and Agrarian Systems (University of Western Cape)
PTO	permission to occupy
RCSA	USAID/Regional Center for Southern Africa
RF	Rossing Foundation
RISE	Rural People's Institute for Social Enterprise
SARDEP	Sustainable Animal and Range Development Programme
SMA	Social Marketing Association
TBNRM	trans-boundary natural resources management

USAID	US Agency for International Development
WILD	Wildlife Integration for Livelihood Diversification
WWF	World Wildlife Fund

## Executive Summary

This report summarizes the findings of the Mid-Term Review of USAID/Namibia's Living in a Finite Environment (LIFE)-Phase II program, including an assessment of the Namibia National Community-Based Natural Resources Management (CBNRM) Programme. LIFE is implemented by the World Wildlife Fund (WWF) and partners under a cooperative agreement with USAID.

Namibia's CBNRM Programme, with active support from LIFE, has made remarkable progress in the short eight years of its existence:

- Sufficient policy reforms have been made to empower communities economically, organizationally and to provide a sense of identity and control.
- The resource base, especially wildlife populations, has recovered dramatically, providing the base for financially viable conservancies.
- Communities have recognized the potential value of conservancies. Fourteen have succeeded in the rigorous process of formation and are now registered. An additional 35 have embarked on this process, with several close to approval.
- Local communities in communal areas have mobilized as conservancies and organized themselves to monitor natural resources, and adopted constitutions to govern themselves.
- With support from MET, NGOs and other organizations conservancies have begun to benefit directly from game hunting and community-based tourism enterprises.
- Namibia has developed a very productive partnership of eleven organizations working together to move the program forward.
- Sufficient capacity has been established within older conservancies to facilitate their networking and learning from each other on issues of common importance.
- A great deal of knowledge about CBNRM, a concept incorporating considerable political, social, economic, organizational and ecological depth, has been developed and institutionalised.

The Review Team finds that the investments to date in CBNRM have been highly worthwhile and effective. The longer term success of the programme, however, will depend on specific measures and additional investments being made to build a sustainable, profitable, democratic wildlife-based rural economy on the solid foundation so far developed.

In partnership with others, USAID has laid the foundation for a major wildlife-based tourism industry. Protection has created an expanding wildlife resource, while community institutions are in place around which to organize a sustainably managed pro-poor tourism industry.

The present value of this industry is roughly US\$10 million annually, with community benefit still being restricted to wages (US\$1 million annually). As noted, the cornerstones (wildlife, institutions) are now in place for major growth. With careful investment and prioritisation, largely of business enterprise and institutional development capacity, tourism could earn US\$35–40 million annually from conservancy areas. If sound negotiation ensures US\$3–4 million



accrues to conservancies in user fees, with a similar amount paid out in wages, this will contribute US\$115 per capita income to the 60,000 people living in viable conservancies doubling the average annual income for a rural Namibian from US\$100 to US\$215.

The programme has contributed to a multi-fold increase in wildlife populations, and to a social foundations and the active protection of desert elephants and rhino. A rough estimate is that the annual harvestable value of wildlife to the landholder in Northwest Namibia (assuming all policy limitations are removed) has increased from US\$65,000 in 1980 to US\$2 million in 2000, enough on its own to justify USAID support.

Additionally, the programme has empowered 14–49 communities (100,000 people) with additional rights, information and knowledge, and earning potential. It has also supported the development of ten functioning NGOs, half of which are now headed by previously disadvantaged Namibians.

Finally, the process has created capacity, knowledge, and an understanding of how CBNRM can work on the ground. The value of the Namibian programme as repository of knowledge and a cornerstone for the continued expansion of CBNRM once regional macro-conditions are again conducive to devolution and democratisation is inestimable.

The Review Team sees a tremendous opportunity to build on the success achieved to date by the programme. There is a rapidly increasing demand for support to emerging conservancies, as more and more local communities seek to take advantage of the policies enabling them to benefit directly from wildlife and use the establishment and legal recognition of a conservancy as a way to regain greater control over their land and other natural resources. Local communities are enthusiastically responding to the opportunity to use CBNRM as a means to promote integrated sustainable development at the local level.

At the same time, a steadily increasing number of NGOs and other support organizations are joining forces and strengthening their partnership to promote and support CBNRM. In the past two years, the National Association of CBNRM Support Organizations (NACSO), which includes the Ministry of Environment and Tourism as a member, has established a Secretariat to service its membership, fostered a number of working groups to address key issues, hired staff, set up an office, won funding, organized a planning conference and developed a strategic vision for the association and the national CBNRM programme. Following a major restructuring, the Ministry of Environment and Tourism is also poised to expand its role in supporting the national programme, through the staffing of a CBNRM Support Unit with 29 field officers to be placed around the country.

In order to fully capitalise on the opportunities and momentum that has been generated by the evolving national programme, the Review Team recommends that the partnership consolidate its good practices throughout the national program, and then undertake a significant shift in programme vision and scope. This shift is needed to address a number of issues, gaps and challenges that have arisen over the past few years, or which can be anticipated in the years ahead, as donor funding is reduced and the WWF/LIFE technical support team is phased out.

The Review recommends that the CBNRM Programme place conservancies centre stage. The programme needs to move from *committee*-based NRM to *community*-based NRM, with a renewed focus on building accountable, democratic structures and transparent, equitable management systems at the grass roots. This, and the likely declining availability of donor resources, will require significant changes in tactics and approaches in order to meet the new challenges of strengthening conservancy institutions by democratising them to be accountable to their constituencies. On the important issue of institutional sustainability, there is an over-riding recommendation that the empowerment of conservancies with rights, knowledge, training and benefits must be accompanied by a sound process of democratisation that ensures downward accountability to rural people. If not, the programme faces ultimate collapse through the disenfranchisement of people from their wildlife and secure rights to additional natural resources—what Murphree has christened “aborted devolution”.

Using the dramatic expansion of wildlife resources over the past 15 years, the programme needs to move expeditiously and confidently to unlock these major financial opportunities for the Conservancies. Achieving these commercial opportunities will ensure the financial sustainability of Conservancies. In anticipation of self-funding, autonomous conservancies, and as a response to the ballooning demand for services, it is recommended that the programme reorient its delivery system to be more demand-driven, efficient and integrated at the local level.

More emphasis is likely to be needed on organizational development, facilitation and conflict management, use of participatory methods and social analysis, transparent and democratic management systems, financial planning, the purchasing of technical support services, and the strengthening of conservancies as integrated community development institutions. To guide and control this process, peer-review performance monitoring must be institutionalised at conservancy, regional and national levels.

In tandem with a more focused effort to achieve financial sustainable conservancies, the systems supporting integrated development planning and NRM need to be consolidated and simplified to ensure that the conservancies have the tools, knowledge and control systems to use their natural resources sustainably. Local communities will also need to be equipped to address potential conflicts over land use, especially from livestock grazing and other locally important livelihood activities. Simplified, integrated development plans will play a key role in guiding management, and should consider the equitable distribution of benefits, and a wide array of production activities, including local crafts, harvesting of veld products and traditional farming.

Nationally, the NACSO Secretariat and its member organizations need to move more quickly toward implementing CBNRM as a rural development strategy by expanding their membership to more community development organizations and programmes and by learning from the ones already participating in the partnership. Specifically, they should add partners with strengths in local financial management, and the institutionalisation of bottom-up governance systems.

In addition, continued support for policy reform and further strengthening of the legislative and institutional framework for CBNRM is needed to ensure that policy gaps are addressed, and sectoral policies are harmonized in support of CBNRM. To this end, the Review Team recommends a number of actions by MET, other GRN ministries, NACSO and its members.

These include inter-ministerial coordination to support CBNRM as a rural development strategy; further devolution of rights to manage the use of other natural resources besides wildlife; legitimisation of community-based zoning and land use planning; recognition of local authority to control access and to exclude inappropriate or destructive use of natural resources, including tourism; and an enhanced role of conservancies and other community-based organizations committed to CBNRM in regional development planning.

More attention needs to be given to the empowerment of communities and local level coordination of planning and the provision of services, together with the development of key performance indicators that can be used to orient activities at all levels. The oversight functions of MET and donors need to recognize the need for adaptation, flexibility, innovation and increased ownership at the local level. This looser approach paradoxically will require tighter performance monitoring to keep it on track.

As the second phase of the LIFE programme comes to a close, it is vitally important that the LIFE team focus on a number of priority activities aimed at ensuring a smooth transition, hand-over and phase-out of their technical and financial support. The Review Team recommends that particular attention be given to institutionalising the team approach throughout the partnership to providing support services in three key areas: social/institutional development and capacity-building, NRM planning and community-based tourism/business planning/enterprise development. LIFE also needs to focus on developing the capacity of the CBNRM Unit in MET (including supporting the position of the head of this Unit at Deputy Director level for several years), to continue to work with NACSO and its members to strengthen further the partnership, and to support the emergence of the regional and national conservancy Associations. LIFE can also make a strong contribution to the documentation of lessons learned, and to the re-integration of the Namibian CBNRM programme into the stimulating and much-needed intellectual dialogue on CBNRM that is underway in the region. The partnership also needs to work together to examine gaps in services, internal coordination and efficiency of service delivery, especially in the areas of training and field support. A well-designed performance monitoring system provides an affordable and practical mechanism to achieve this.

The Review Team also recognized the need for the further diversification of funding sources for the programme, and the expanded mobilization of internal resources for the programme. The deliberate recognition and launching of a National CBNRM Programme that is truly national in scope and an integral part of Namibia's efforts to promote sustainable development, together with expanded communications and public relations efforts and a carefully elaborated sustainable financing strategy, should also help to raise the profile and level of political support for the programme.

The following strategic recommendations are aimed at strengthening the programme's support to the further development of sustainable conservancies:

1. *Participatory Democracy*—Develop a programme-wide emphasis on strengthening conservancies as participatory democracies based on control by the constituency acting through sound, constituted, accountable, transparent, democratic and equitable village-level institutions.

2. *Financial Sustainability*—Set in place plans for each conservancy to achieve financial sustainability as soon as possible.
3. *Re-prioritisation of the planning process*—Simplify the conservancy planning process, with an emphasis on improving livelihoods by achieving financial, institutional and natural resource sustainability.
4. *Performance and compliance monitoring*—Implement comprehensive, but simple, performance and compliance monitoring and control systems.
5. *Delivery systems*—Review and revise support delivery systems to lower costs and increase impact
6. *Regional Associations*—Support emergence of conservancy associations as the programme's lead agency and primary mechanism of advocacy.

In addition, in order to enable the national programme to move to the next level in terms of consolidating programme leadership and ownership, institutionalisation of cost-effective and efficient CBNRM support services, strengthened partnerships, and increased programme sustainability, the following strategic recommendations are proposed:

1. Establish and launch the National CBNRM Programme
2. Staff and support the CBNRM Unit
3. Restructure the National Programme placing conservancies in the lead
4. Strengthen the CBNRM partnership to provide cost-effective capacity-building services and demand-driven technical support more efficiently
5. Reorient and expand support for the national programme to address critical emerging issues and to increase the programme's relevance to the government's sustainable development priorities
6. Get economic benefits flowing to conservancies
7. Strengthen existing rights and secure additional rights for the conservancies
8. Develop a more robust system for monitoring and communicating programme accomplishments
9. Proactively manage the LIFE transition
10. Secure funding for the medium term and financial sustainability over the longer term

Finally, the report presents a Proposed Action Plan for WWF/LIFE and National CBNRM Programme Stakeholders that outlines action items and a timeframe to implement the recommendations of this review.

# **1. Introduction**

## **1.1 Scope and Purpose of the Mid-Term Review**

The objectives of the Mid-Term Review of the LIFE-II program are to:

1. Determine the capacity of various Namibian institutions and organizations to carry out a variety of services that will sustain the Community Based Natural Resources Management (CBNRM) program when:
  - a) WWF's Cooperative Agreement is completed on October 31, 2002
  - b) after USAID's investment is completed in September 2004
2. Determine if sufficient support components are in place that will sustain CBNRM in the long-term
3. Develop concrete directions and a strategic plan for the final two years of LIFE II based on the assessments, analyses and recommendations

The Review process and the report that has been produced as a result of it are distinctive in several ways. The audience for the report is not just USAID and WWF/LIFE but *all* of the Namibian CBNRM Programme partners. The Review Team worked under the guidance of a Review Committee comprised of representatives from USAID, the GRN Ministry of Environment and Tourism (MET), WWF/LIFE, the Namibia Nature Foundation (NNF) and the Namibian Association of CBNRM Support Organizations (NACSO). The scope of the review included both USAID's Living in a Finite Environment (LIFE)-II program as well as the broader national CBNRM Programme with which it is inextricably linked. A key part of the review process was an all day Workshop for CBNRM Programme Partners hosted by the Review Team. The purpose was to "workshop the recommendations"—to present key findings and draft recommendations and solicit feedback and suggestions. Details on the workshop have been included in annex J. The report has incorporated valuable suggestions from the workshop as well as from regular debriefings and discussions between the Review Committee and the Review Team.

## **1.2 Organization of the Report**

The Main Report includes the team's assessment of achievements to date, challenges and key strategic recommendations at two levels: the conservancies and the National Programme. The strategic recommendations are designed to challenge program implementers and help move the CBNRM programme in Namibia to the next level. The report also includes a section on the WWF Transition and a Proposed Action Plan for WWF/LIFE and National Programme Stakeholders 2001–04. Additional observations, analyses and recommendations have been included in the annexes and are cross referenced in the main text. Annex B is addressed to USAID.

The Review Team is indebted to the dozens of people who have so generously given of their time as well as to the authors of a wealth of earlier studies covering the LIFE program and CBNRM in Namibia.

The term conservancies in this report refers to communal conservancies, as these have been the focus of LIFE. For an discussion of both communal and freehold conservancies, and some excellent ideas that the Review Team fully endorse on how they could work more closely together, readers are referred to the GEF program document.

## 2. The Conservancies

### 2.1 Achievements

The CBNRM Programme has made remarkable progress at the conservancy level in the short eight years of its existence.

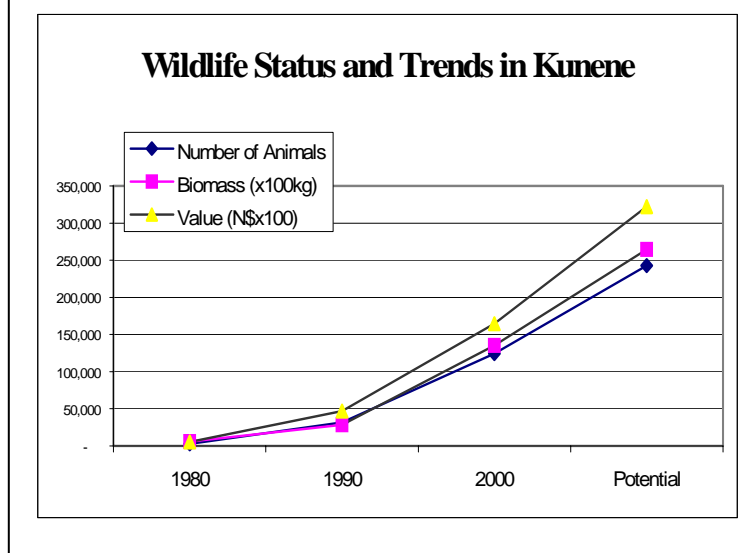
- Sufficient policy reforms have been made to empower communities economically, organizationally and to provide a sense of identity and control.
- The resource base, especially wildlife populations, has recovered dramatically, providing the base for financially viable conservancies.
- Communities have recognized the potential value of conservancies. Fourteen have succeeded in the rigorous process of formation and are now registered. An additional 35 have embarked on this process, with several close to approval.
- Local communities have mobilized as conservancies and organized themselves to monitor natural resources, and adopted constitutions providing for sustainable resource use.
- With support from MET, NGOs and other organizations conservancies have begun to benefit directly from game hunting and community-based tourism enterprises.
- A great deal of knowledge about CBNRM, a concept of considerable political, social, economic, organizational and ecological depth, has been developed and institutionalised.

Additional details on these and other achievements are found in annexes D, E, F and G. Annex C provides a detailed assessment of progress and challenges at the conservancy level.

*Strong community response.* There is an accelerating response by communities to the opportunities offered by the 1996 amendment to the Wildlife Ordinance and LIFE programme support. At least 32 communities are sufficiently organized to manage grants and related funding. By 2001, 14 were formerly registered as conservancies, 9 were in the final stages of application, 11 have initiated applications and 14 have registered interest in the concept (total of 49 communities). Formal registration represents 32,550 people on 5.7 million hectares. Sixteen conservancies are constituted, and a further 18 are preparing constitutions.

*Wildlife protection and monitoring.* Increased participation of local communities, the presence of

**Figure 2.1 The Increasing Numbers and Value of Wildlife in Northwestern Namibia**



organizational structures in at least 32 conservancies, systems for protecting and monitoring resources (Community Game Guards, Community Resource Monitors, Environmental Shepherds), and more NRM compatible land use practices, provides the basis for improved wildlife and NRM management. A high-level indicator is the multi-fold increase of wildlife populations in the northwest (figure 2.1) and increasing populations in Caprivi and Nyae Nyae, a consequence of reduced poaching and increased cognisance of wildlife's requirements. Innovative, visually-based natural resource monitoring systems are being developed, and management is being systematized (e.g. vehicle count of the entire northwest). Increasing wildlife populations and improving management systems are providing a basis for sustainable use and the generation of benefits.

*Community-Based Tourism Enterprises (CBTEs).* Reflecting the comprehensive training, support and financing systems established by NACOBTA, 27 CBTEs (campsites, rest camps, craft centres, information centres, guides) generated revenue by 2000. Annual turnover to September 2000 was N\$1.5 million, creating 163 permanent and 38 temporary jobs, usually in areas of chronic underemployment.

*Community-Private Sector Partnerships.* More leverage and skills to negotiate partnerships. Three facilitated negotiations provide annual income to conservancies of more than N\$250,000 (5–12% of turnover) compared to an industry average of under 0.5% or N\$10,000. There is potential to negotiate some 70 such ventures. This experience with negotiating and contracting provides the beginnings of progress in high-end enterprise development.

*Safari Hunting Partnerships.* For the first time, communities have developed five partnerships with trophy hunting outfitters, worth just under N\$800,000, and breaking new ground for conservancies. Similarly, trophy and/or own-use quotas have been issued for six conservancies, and while these are ultra-conservative (representing a high financial opportunity cost) they provide a base from which to identify and resolve constraints.

*Delineation and Empowerment.* Progress has been made in organizing and empowering local communities through identifiable and more cohesive social units, accountable management committees, local decision-making, the development of shared visions and development strategies, information sharing, considerable capacity-building, devolution of rights, and recognition from neighbours and outside authorities. Much remains to be done to build on this progress and fully institutionalise it.

Organized communities with a much improved (and still improving) resource base, provide the foundation to build financially sustainable organizations and livelihoods, through community-based tourism and NRM initiatives but particularly through equitably negotiated partnerships with the private sector.

This all provides the foundation off which to build vigorous, sustainable partnerships between confident communities and private sector investment and partnerships. By making communities and their members better off, strong incentives are created for economic growth, empowerment and sustainable natural resource management, including biodiversity conservation.



A transformational movement of the scale and breadth of CBNRM can not be accomplished in ten years. It involves a fundamental shift from state controlled resource management, to the democratisation and privatisation and devolution of resource management at the level of self-defining communities.

While much progress has been made, the work of the CBNRM support organizations (IRDNC, RISE, NDT, etc.) and others needs to continue if both the established and emerging conservancies are to benefit from the improved management and sustainable utilization of the wildlife and other natural resources in their conservancies. As the following table makes clear, despite the impressive progress made to date with substantial levels of funding and organizational effort, the conservancy program is just beginning to reach many important benchmarks, and the majority of the conservancies have not yet been able to fully capitalize on the potential benefits of the program.

**Table 2.1**

<i>Status of Progress with Selected Activities</i>	<i>Number</i>
Emerging conservancies, not yet registered	34
Conservancies with active natural resource monitoring	28
Conservancies with bank accounts	17
Conservancies with constitution in use	16
Registered and established conservancies	14
Support for crafts	14
Office established for staff and meetings	11
Campsites developed	10
Conservancies with regular, well-attended annual general meetings	10
Conservancies with democratic sub-units	8
Conservancies with more than US\$100,000 in annual income	5
Safari hunting organized	5
Development plan and/or NRM plans under preparation	5
Game hunting (own use) and meat distribution underway	4
Local employment from guiding for tourism	4
Exclusive High Cost Joint Ventures negotiated	4
Conservancies with Benefit Distribution Plan in use	3
Natural resource management plans prepared	3
Conservancies that regularly forward NR monitoring data to government agencies	1
Natural resource management plans that have been formally reviewed, approved and recognized by relevant government agencies	1
Financial self-sufficient (income covers recurrent cost expenditures)	1
Conservancies with functional performance monitoring and reporting system	0
Adaptive resource management system based on a completed management plan in place and operational	0
Integrated development plans prepared, adopted and implemented in collaboration with relevant government services	0
Access to/use of commercial credit	0

Source: Namibia Nature Foundation Database

This work of the CBNRM Programme in conservancies is a rare success, but needs further investment to become sustainable. While it demonstrates great promise, the considerable gains made will be difficult to sustain without further support. Ideally, donors should reinforce and reward success. The reality is that they may well not do so.

## **2.2 Tensions between CBNRM Programme Requirements and Funding Realities**

There are strong demands for the CBNRM Programme to do more at the conservancy level, given the rapid growth in geographic demand and the pressures for increasing sophistication and integration of resource and institutional management. This requires a shift from a wildlife conservation paradigm to one based on general community organization and development. The programme is likely to have to achieve this with lower inputs: donors are withdrawing from Namibia and CBNRM. This implies a major direction shift in the programme, and a greater emphasis on sustainability. The following strategic recommendations are provided in light of this reality.

Hastening the process is not without risk. Fortunately, the strong groundwork provides a basis from which to tackle these challenges. With this introduction, we provide six strategic recommendations for work at the conservancy level. Supporting explanations, justifications, and analysis is provided in annex C

In summary, it has been a great start:

- ✓ But it needs to all be based on sound, democratic, participatory organizations.
- ✓ Then, it needs to take advantage of the opportunities for commercial enterprise development to make money and achieve financial sustainability.
- ✓ But, ensure sustainability, especially the wildlife and resource base.
- ✓ And also, keep the social dimensions and dynamics clearly in view and monitor these to insure equitable impacts.
- ✓ Last, but not least, the programme needs to develop grassroots legitimacy and the democratic ability of its constituents to empower themselves

## **2.3 Strategic Recommendations**

### ***1. Participatory Democracy***

*Develop a programme-wide emphasis on strengthening conservancies as participatory democracies based on control by the constituency acting through sound, constituted, accountable, transparent, democratic and equitable village-level institutions.*

Conservancy organizations are in place that provide a basis for natural resource management, and are partially democratic in nature. To avoid the problem of “aborted devolution” that has afflicted most regional CBNRM programmes after the withdrawal of strong, caring, informed over-sight, and to provide fundamentally sound democratic institutions as the basis for development, it is recommended that bottom-up accountability and democracy be developed as quickly as possible, using carefully constituted Village-level organizations as the basic building-block of conservancies. This principle should be reinforced by all partners, and through all

interventions, including conservancy formation, constitution development, grants, education of individuals about democratic rights, and the development of transparent revenue sharing systems, with the latter being a powerful tool to drive bottom-up accountability.

## **2. Financial sustainability**

*Set in place plans for each conservancy to achieve financial sustainability as soon as possible.*

Recognizing the impending phase-out of external funding, steps should be taken in each conservancy to develop and implement plans that assure financial sustainability within three to five years (wherever possible). The analysis of tourism, hunting and other commercial opportunities suggests that this is entirely possible, but must become a driving priority of the programme. Naturally, developing strong financial flows without first ensuring institutional accountability is a two-edged sword, so this step should follow the first recommendation. In cases where the conservancy cannot become financially sustainable, but support is justified on the basis of poverty alleviation, the reversal of past discrimination and/or biodiversity conservation, other sources of funding should be sought and/or trust funds established to ensure long term funding.

## **3. Re-prioritisation of the planning process**

*Simplify the conservancy planning process, with an emphasis on improving livelihoods by achieving financial, social/institutional and natural resource sustainability.*

The current planning process needs to be simplified to answer the basic question, “What does this conservancy need to do in order to become sustainable as soon as possible?”

This will bring organizational development and financial planning centre stage, organized around community livelihood and development priorities. In most cases, this will lead to tourism planning and the strategic development of enterprises, with high-value tourism and hunting partnerships with the private sector likely to be where the most value can be added fastest. Community enterprises can then be developed around these commercial nodes. The transition to viability will require an investment in planning tourism and in negotiating conservancy-private partnerships. We recommend that the programme’s capacity in this regard be increased, including careful attention to the distribution of benefits to community members.

As communities are already aware, sustaining production and conserving the natural resource base requires an investment in monitoring natural resource planning and management. The excellent start made by the ‘virtual’ NRM support team should be consolidated, but simplified.

## **4. Performance and Compliance Monitoring**

*Implement comprehensive—but simple—performance and compliance monitoring and control systems.*

The devolution of responsibilities and rights to use and sustain wildlife, and the flow of the revenues that are starting to flow from them, will only be sustainable if sound social, institutional, financial and NRM processes are in place. Thus the ‘looseness’ of devolution should be accompanied by ‘tightness’ with respect to conformance with democratic, financial

and resource management principles. This requirement for accountability requires much improved performance-conformance monitoring systems, the power of which is enhanced considerably when they use both visualization and peer pressure.

Led by NNF, the partnership should establish a focused and manageable conformance-performance monitoring system, preferably based on five (or so) key performance areas with no more than three or four indicators for each area. Allied to this, a critical review process should be built into the programme using Namibian resources as well as through an alliance with a strong regional research institution with a mandate for strategic research in key programme areas, especially socio-institutional impact.

## **5. Delivery Systems**

*Review and revise support delivery systems to lower costs and increase impact*

Consideration should be given to reviewing and revising support delivery systems to lower costs and increase impact (e.g., through activators/trainers/monitors based at conservancy level, which lowers costs and increases contact time). Whenever possible, communities should be enabled to demand-drive this support. Possibilities include providing communities with a quota of support days (on the basis of performance), and allowing them to decide which support they desire. Invoking such ‘market forces’ will better allocate resources, and will also provide a good indicator of the status of conservancy mindset and priorities.

## **6. Regional Associations**

*Support emergence of conservancy Associations as the programme’s lead agency and primary mechanism of advocacy.*

The emergence of regional level conservancy associations should be supported, with the intention of creating strong and legitimate advocacy and interaction at both the Regional and National levels. The NACSO partnership should assist the conservancy associations to take the lead role in the programme, empowering communities to advocate for stronger rights over the management of natural resources. The NACSO partnership should expect to become a supporting rather than a lead player, with a strong role in providing information and support.

***The over-riding strategy should be to rapidly empower communities economically and with information (with the proviso that they are institutionally sound—as outlined in recommendation 1) and to trust them to drive the programme and to deal with key limiting factors such as policy, legislative and other issues.***

Finally, there is the question of what strategy should be taken to address the many coordination and policy issues that could retard the progress of the national CBNRM programme. The strategic approach recommended by the Review Team is to assist communities to generate revenue (and so empower themselves), to provide information to them about the factors limiting progress, to help them monitor this progress, and then to trust that communities will address these issues themselves through their various networks. The sustainability of this approach again depends on the establishment of participatory democracy outlined in recommendation 1. It also requires that communities become self-developing, equal partners in this process and that every

effort be made to avoid the creation of dependency (and to reverse dependencies where they have developed in the current programme)

The final directional recommendation concerns the strategic use of programme funding to maximize the number of conservancies brought to sustainability within the next five years.

***Recommended strategy for overall programme support and direction:***

1. Direct field support should be increasingly emphasized as the cornerstone of the programme. The people in conservancies should be placed centre stage as the ‘clients’ of the programme.
2. Improved support can be provided at lower cost by re-organising delivery systems around conservancy-based facilitators/monitors, with the objective of halving costs (efficiency) and simultaneously doubling (at a minimum) contact time with communities (effectiveness).
3. These considerable savings should then be re-directed towards developing the institutional and financial sustainability of conservancies through:
  - the strengthening and deepening of the institutional framework for the democratisation process (ensuring that all voices are heard),
  - the continued development and implementation of plans aimed at integrated local development and sustainable use of natural resources, and
  - the development and implementation of plans aimed at financial sustainability, including tourism planning and negotiation.
4. At conservancy level, a drive for sustainability should be promoted by generating awareness of the phasing out of direct financial support.
5. At a central level, a Business Enterprise and Institutional Team should be created. The team requires strengthening in tourism planning/business negotiating, adding institutional/social and hunting sector management capacity and developing a virtual team of partners and trainees in the public, private and NGO sectors so as to be able to support the anticipated growing demand from conservancy to establish a pathway to financial sustainability.

Achieving these directional changes is complicated by the partnership nature of the national programme. Different partners, and their supporting donors, often have slightly divergent goals, some being strongly orientated towards environmental conservation and others towards rural development, with so far rather limited action on the area of proposed emphasis: financial sustainability. This recommendation requires a substantial change in emphasis within the programme partnership, and therefore creates the challenge of negotiating changing roles, and financial allocations and priorities, within the partnership. The use of a facilitator (with strong background in organizational development and financing) should be considered in support of this process, together with measures to diversify and challenge the present models (e.g., exposure to alternative models through visits and use of expertise with divergent experiences).

The present partnership benefited greatly from regional exposure in the early phases of the programme. The combination of acquiring the role of leading CBNRM conceptual development, of workloads dictated by adherence to short-term targets, of the breakdown of regional networking initiatives, of the absence of a quality critic within the programme (such as CASS and PLASS), and of Namibia’s geographic position, means that this external stimulation and constant questioning has been somewhat lost. Given the maturity of the programme in terms of confidence and the handling of constructive criticism, and its organizational competence and

ability to both question new ideas and to quickly incorporate good ones into the programme, this learning process should be re-incorporated into the design of the programme. Organizations that fail to build a culture of learning and adaptation are unlikely to be sustainable and seldom thrive.

### **3. CBNRM—Achievements, Challenges and Moving to the Next Level**

#### **3.1 Achievements and Challenges**

With the groundwork and challenges at the conservancy level laid out in the preceding section, the Review team now turns its attention to the national level to examine the policy and institutional framework and support systems within which the CBNRM programme has been operating.

The team's analysis, findings and recommendations are presented in three parts:

1. A synthesis table that captures many of the CBNRM Programme's achievements, as well as pending issues, concerns and challenges to be addressed.
2. Strategic recommendations that provide direction for moving the National Programme forward to the next level, and
3. Supporting analyses and more detailed recommendations included as annexes to the report:
  - Annex D—CBNRM Policy and Legislation
  - Annex E—The Economics of CBNRM
  - Annex F—Institutional Development & Capacity Building for CBNRM
  - Annex G—CBNRM Support Systems, Tools and Methods
  - Annex H—Internal sources of finance for the CBNRM programme

**Table 3.1 Overview of the Achievements and Challenges for the National CBNRM Programme**

<i>Programme Area</i>	<b>Achievements</b>	<b>Issues, Gaps, Concerns, Challenges</b>
Programme Coordination and Leadership	<ul style="list-style-type: none"> <li>• Strategic planning, programme coordination and policy analysis capabilities of MET/DEA were a major factor in the initial success of the programme</li> <li>• Leadership from LIFE team has been critical to continued success and many achievements of the programme</li> <li>• General level of professionalism, planning, timeliness and financial control is impressive</li> </ul>	<ul style="list-style-type: none"> <li>• Who is looking after CBNRM strategic planning and programme management?</li> <li>• Concerns with rate and process of phasing out LIFE technical support, and associated capacity building and turn-over</li> <li>• Tensions between increasing level and broader nature of demands for support services and declining resources, limited capacities</li> </ul>
CBNRM Policies and Legislative Framework	<ul style="list-style-type: none"> <li>• Elaboration of progressive, innovative Wildlife Utilisation Policy based on lessons learned in the region and pilot CBNRM activities</li> <li>• “Tool box” widely disseminated and utilized to familiarize local communities with policy, legislation and registration procedures</li> <li>• Guidelines prepared for preparation of conservancy Constitutions and organization of management committees</li> <li>• Transfer of wildlife management rights from State to local communities has triggered widespread interest in community-based integrated development planning and CBNRM</li> <li>• Proactive dialogue with MET on draft tourism and parks and wildlife legislation</li> <li>• Other line ministries and natural resource sectors also shifting towards CBNRM and recognition of community-based organizations with rights to manage natural resources</li> </ul>	<ul style="list-style-type: none"> <li>• Wildlife legislation doesn’t empower Conservancies to control access to all natural resources or to control tourism; land tenure issue still pending</li> <li>• Policy framework does not support and legitimise community based integrated development planning</li> <li>• conservancies lack legal basis to ensure compliance with zonation, management plan</li> <li>• Inconsistencies in applying current legislation</li> <li>• Risk of aborted devolution and reversion to centralized oversight and control over NRM</li> <li>• Weak mechanisms to share information about related policy initiatives in support of CBNRM; risk of policy fragmentation and inconsistencies among line ministries</li> </ul>



<i>Programme Area</i>	<b>Achievements</b>	<b>Issues, Gaps, Concerns, Challenges</b>
Institutional Development and Capacity Building	<ul style="list-style-type: none"> <li>• Impressive collaboration among programme partners</li> <li>• Increasing number of CBNRM support organizations and increased capacity within them</li> <li>• Black Namibians rising through middle management into leadership positions</li> <li>• Expanding geographic coverage, with designated lead support organization in each region</li> <li>• Creation of Namibian Association of CBNRM support organizations</li> <li>• Facilitating emergence of conservancy associations at regional level (and eventually national)</li> <li>• Provision of extensive capacity building support, with a focus on monitoring, NRM planning and tourism development</li> <li>• Increasing emphasis on training of communities (vs. support organizations)</li> <li>• Recognition of need to expand (further) beyond wildlife to other NR and rural development</li> </ul>	<ul style="list-style-type: none"> <li>• Capacity limited in critical areas including institutional/organizational development, communication, facilitation, conflict management skills and monitoring (See Table 1 Critical Services and Table 2 Partners in the CBNRM Programme)</li> <li>• Insufficient technical support capacity in business/tourism enterprise development to assist the conservancies in attaining financial sustainability</li> <li>• Relatively weak involvement and commitment of GRN institutions to CBNRM</li> <li>• Need to continue to broaden scope and capabilities of support organizations, to include more organizations with rural development related capabilities and orientations</li> <li>• Programme would benefit from greater professional diversity and creative intellectual tension; currently rather closed, inbred, with limited exposure to CBNRM innovations elsewhere</li> <li>• Need for more attention to integrated development planning and benefit distribution plans</li> <li>• Gap in institutional assessment skills, especially for conservancies</li> <li>• Attention to social organization, gender, equity and related issues hasn't been sustained as programme evolves</li> <li>• Relatively less emphasis on training related to institutional development</li> <li>• Performance monitoring and information tracking systems not fully established and functioning</li> <li>• Planning and monitoring system may not integrate community socioeconomic realities and information needs</li> <li>• Insufficient effort on documenting and sharing lessons learned</li> <li>• Need more deliberate strategy to address HIV/AIDS</li> <li>• Need to analyse cost effectiveness of training; inefficient to continue with direct training</li> </ul>

<i>Programme Area</i>	<b>Achievements</b>	<b>Issues, Gaps, Concerns, Challenges</b>
<div data-bbox="176 548 380 618">Economics of CBNRM</div> <div data-bbox="176 862 380 1024">CBNRM Support Systems, Tools and Methods</div>	<ul style="list-style-type: none"> <li>• Dramatic increase in numbers and value of wildlife resources</li> <li>• Promotion of policy reforms regarding community benefits from wildlife based tourism (CBT)</li> <li>• 14 conservancies earning income from crafts; 10 conservancies with campsites; 5 with safari hunting organized; 4 joint ventures negotiated</li> <li>• Groundwork on JV negotiation and contracting in place</li> <li>• Establishment of highly effective community based wildlife protection and NR monitoring</li> <li>• Innovative use of “event books”, posters and other tools for training and monitoring</li> <li>• Systematic use of quarterly planning meetings to increase local participation in reviews of progress and work planning</li> <li>• Efficient support for mapping boundaries, compilation of inventory information, GIS data</li> <li>• Impressive level of collaboration in organizing and reporting on game counts in the NW</li> <li>• Systems developed to support game translocations</li> <li>• Useful experience gained with Forum for Integrated Resource Planning (FIRM)</li> <li>• Conceptualisation of improved process and methodology for integrated development and NRM planning</li> </ul>	<ul style="list-style-type: none"> <li>• Demand for programme support has grown beyond target areas, but bulk of programme resources are still focused in targeted areas</li> <li>• Need to strengthen ties to educational institutions to increase candidates oriented to CBNRM training</li> <li>• Human resources development advisor at MET not supported</li> <li>• Only one conservancy is financially self-sufficient</li> <li>• Conservancies reaping less than 0.5% of tourism turnover compared to benchmark of 10%</li> <li>• Inability to control access by all tourism operators results in considerable “leakage”—loss of potential income from CBT that could accrue to conservancies</li> <li>• Possible to quadruple economic benefits from wildlife related tourism while reducing negative environmental impacts</li> <li>• Only three conservancies with development and NRM plans</li> <li>• Need to formalize agreement with MET on guidelines for the preparation of NRM plans</li> <li>• Few conservancies compile and share monitoring data with MET</li> <li>• Level of information sharing and collaboration between MET directorates needs strengthening (DEA, DSS, DPWM, DoF, DoT)</li> <li>• Seemingly Ad hoc procedures to respond to issues related to quotas, PAC, concession allocations; with little delegation of authority to regional and local field staff</li> <li>• Weaknesses in systematically addressing cost/benefit issues and analysis of trade-offs in development/NRM planning</li> <li>• Need to strengthen efforts to increase local capacity to take a lead role in conservancy level planning and management activities</li> </ul>

<i>Programme Area</i>	<b>Achievements</b>	<b>Issues, Gaps, Concerns, Challenges</b>
	<ul style="list-style-type: none"> <li>• Mobilization of community-based tourism / enterprise development team</li> </ul>	<ul style="list-style-type: none"> <li>• Rapidly growing demand for technical support teams (institutional capacity building, NRM, enterprise/tourism) likely to exceed capacity of partnership to deliver services, particularly if delivery systems are not made more cost-effective</li> </ul>
Sustainable financing	<ul style="list-style-type: none"> <li>• Mobilization of relatively high level of financial support for conservancies (N\$3.6 million annually) and support organizations</li> <li>• Groundwork laid out for Environmental Investment Fund</li> <li>• Game Products Trust Fund functioning and benefiting conservancies</li> </ul>	<ul style="list-style-type: none"> <li>• Staffing and other costs imposed by support organizations on conservancies</li> <li>• Demand for support services outstripping institutional capacity and available funding, especially with projected phase out of USAID funding</li> </ul>

### **3.2 Strategic Recommendations for Moving the Programme to the Next Level**

Following the presentation and discussion of an earlier version of the Overview Table at the Workshop to Review Findings and Recommendations of the Mid-Term Review and input from Workshop participants on what they saw as priority areas (detailed in annex J), the Review Team developed a series of Strategic Recommendations for the CBNRM Programme in Namibia. Moving the national Programme to the next level will require energy, imagination and broad commitment to a directional shift that places community governance and sustainability centre-stage. The key issues that energy needs to be directed to are:

#### ***1. Establish and launch the National CBNRM Programme***

The recent publication of the NACSO brochure is a commendable initiative designed to familiarize people and organizations with NACSO, its membership and their activities in support of CBNRM. A series of public relations efforts over the past several years have also helped to draw attention to the launching of conservancies and the increased level of benefits accruing to local communities from wildlife and tourism. While there are many references, in this report and elsewhere, to a “national CBNRM programme”, in fact the leadership and ownership of the national programme is currently undefined and diffuse. The various efforts underway to support conservancies and CBNRM activities have not yet been officially recognized and brought together as a national programme. With 14 conservancies formally registered, some 40 additional conservancies in various stages of formation, and a number of community-based approaches to NRM emerging with the support of other technical departments and projects, it is an opportune time to formally establish a National Programme and launch it with great fanfare. The long-awaited establishment of MET’s CBNRM Unit would be an excellent time for this to happen. The Review Team suggests that preparations begin immediately, starting with the naming of the President and his wife as Patrons of the Programme. Additional preparations could include a nationwide competition to design a distinctive and much needed logo for the National Programme<sup>1</sup>.

The formal establishment of a National Programme that includes a clearly defined role for the CBNRM Unit should help promote MET ownership and set the stage for greater collaboration among line Ministries responsible for various NRM subsectors, thereby addressing a key threat to the current programme.

#### ***2. Staff and support the CBNRM Unit***

The organization of the CBNRM Unit within the Directorate of Parks and Wildlife Management of MET represents welcome progress. It would have been better to place it at a higher level given the potential economic contribution and scope of CBNRM activities. Nevertheless, it is critical that a Unit is in place specifically to service and represent conservancies and improve the timeliness and attention to important conservancy issues—registration, hunting quotas, tourism PTOs, and the representation of conservancy issues within MET, etc. The unit can also play a vital role in building bridges between MET and other ministries, organizations and projects supporting CBNRM, including the wider NACSO membership.

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<sup>1</sup> The partnership may also want to consider producing a professional quality video on the CBNRM programme accomplishments to be shown both in Namibia and at the Rio+10 Conference in Johannesburg next year.

It is recommended that the LIFE programme support the position of the head of this Unit at Deputy Director level for several years (current post is for a Senior Control Warden). This will enable the Unit to develop its capacity faster. It is further recommended that LIFE specifically target this Unit for capacity building.

It is recommended that the CBNRM Unit carefully establish its priorities in line with MET's comparative advantage. This would suggest primary roles in:

- Championing CBNRM in MET and GRN in general.
- Developing policy and procedures to return more rights to disenfranchised communities.
- Monitoring performance and compliance of conservancies with policy and legislation.
- Championing applications, quotas and PTOs through official processes.
- Representing GRN in NACSO.

It is further recommended that the core staff (3) of the CBNRM Unit play a leadership role, and delegate operational support activities and other responsibilities to the 29 field level CBNRM Unit staff to the greatest extent possible. For instance, they can play a key role in requesting the timely presentation of performance indicators, while mandating NGOs to collect and collate this information. Indeed, the more MET is engaged in the monitoring role, the more influence it has. Finally, the Unit will benefit experientially by taking primary responsibility for supporting the implementation of community driven, locally owned CBNRM in one or two conservancies.

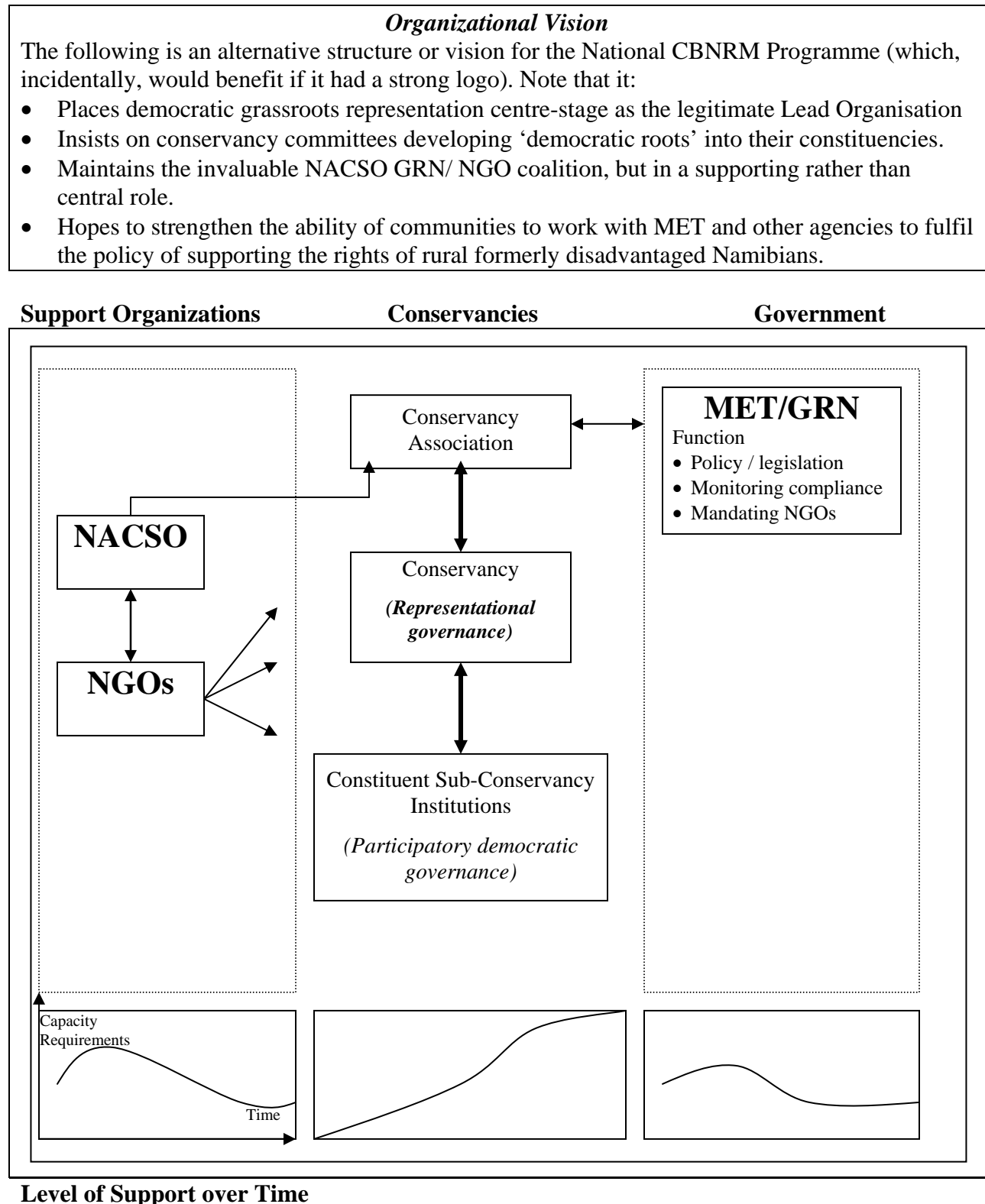
### ***3. Restructure the National Programme placing conservancies in the lead***

Notwithstanding the excellent progress in developing the capacities of the support organizations and the emergence of the NACSO association, conservancies should be supported towards an ultimate goal of assuming greater leadership and ownership of the CBNRM programme. Thus community-based structures should be encouraged to lead the programme at the regional and national levels, through regional and national conservancy associations. In using their legitimate position to advocate for policy, procedural and other improvements (figure 3.1), they will add considerable strength to the programme. The pre-supposes that conservancies are properly organized as participatory democratic institutions. These associations should assume a policy-setting and advocacy role, and should avoid the encumbrances of technical responsibilities. In supporting these developments, the CBNRM partnership and NACSO should take care to ensure that conservancy associations are perceived as independent of excessive NGO influence.

### ***4. Strengthen the CBNRM partnership to provide technical support more efficiently***

Particular attention should be given to the development of improved delivery systems for training that are based on a "training of trainers" approach. The partnership of support organizations also needs to assess how to fill a number of critical gaps in support services, including institutional/organizational development, tourism/business planning capacity, conflict management, communications, facilitation and monitoring skills. More teamwork in the area of institutional support and capacity-building and improved coordination among the various technical support teams (including institutional support, NRM planning and enterprise development) would enable the support organizations to respond more efficiently to the expressed needs of conservancies and other community-based organizations (CBOs) engaged in CBNRM local communities.

**Figure 3.1 Organizational Vision for the National CBNRM Programme**



The team conducted an overall assessment of the CBNRM program partnership as it is currently functioning in Namibia, examining the *set* of organizations that comprise the institution of CBNRM, and assessing how they are working together to achieve their common goal. Three main issues are discussed briefly below, with recommendations included. (For a more detailed analysis see annex F).

### *Capacity in Key Service Areas*

We examined the critical needs for key services, based on our assessment of the strategic challenges and required shifts in program direction. The team then examined whether these critical services for conservancy development were available, what resources existed for strengthening these services, and who could fill any gaps. As part of the assessment process, we developed a list of *critical services* (Table F1) and a review of the strengths and challenges each programme partner offers to the partnership (Table F2). Following is a selection of priority gaps noted in Table F1:

- Communications, Facilitation, and Conflict Management: Conservancies need ways to communicate with the broader community and to provide feed back on what the conservancy is involved in. It is suggested that modules for these skills be included in the CBNRM Programme Training Toolbox, and that additional partner organizations be trained to conduct these sessions with communities.
- Tools for Participatory Development and Socioeconomic Analysis: Tools to allow communities to carry out their own participatory facilitation are not widely available and are needed. Gender analysis skills may also be lacking. Partners are moving this way and expressed the need for strong, experienced technical assistance. To address this need, we recommend a social and institutions expert be brought on to the LIFE team and housed within RISE or NDT for 2 years to coordinate and build capacity on these issues within the partnership.
- Benefit Distribution Planning and Implementation: While conservancies are committed in principle to equitable benefit distribution, to date the actual implementation of benefit distribution plans has been problematic. This shortcoming has the potential to *endanger the entire program* as government perceives an apparent failure to follow through with equitable benefit distribution. Recommendations: Build on a participatory planning process at the community level to empower people to develop and implement equitable benefit distribution plans and then monitor in a transparent manner how benefits are actually distributed. Get at least 80 percent of revenues to village level.
- Organizational Assessment: The program's Conservancy Management Profiles and Institutional Development Profiles are seen as necessary by many partners (see Table F2 for some strengths and challenges of partners). Recommendation: Designate a person to continue periodic use of Institutional Development Profiles and Conservancy Management Profiles, preferably the same person referred to in the discussion on participatory tools, above. Link this work to the monitoring and evaluation system and to local level strategic planning processes.
- Sources of New Capacity: Recommendation: That the program build closer ties with educational institutions like the Polytechnic NRM Program to enhance the resources available to build new capacity.

### *Capacity Building and Training Approaches*

Capacity building approaches for the program's conservancy work could benefit greatly from several considerations. Recommendations: LIFE staff should focus on mentoring and moving out of management—begin by attaching two to three counterpart staff to each TA. The partnership should organize its conservancy capacity building team to work together and fulfil its mission more completely. NACSO should establish a Training Working Group to examine the efficiency and costs of the current training paradigm, preferably using quantifiable indicators of inputs and results.

### *Collaboration Mechanisms*

The partnership is coordinated now through planning/feedback meetings, a calendar, and memoranda of understanding between groups working together in target areas. The team heard of difficulties with meetings, field-based coordination, and information sharing.

Recommendations: It is suggested that the Secretariat establish a simple information-sharing program to inform and coordinate with members and others more frequently. MOUs can be strengthened and members may wish to experiment with fee-based contracting and strategic alliances between organizations that work together frequently.

### ***5. Reorient and expand support for the national programme to address critical emerging issues and to increase the programme's relevance to the government's sustainable development priorities***

The review team recognizes and salutes the dedication of and the exemplary rapport among the NACSO membership. That said, the partnership is rather closed and operating in its comfort zone. It is time to step outside that comfort zone, open the programme up, bring in additional expertise and proactively build bridges to all sectors of Namibian society. However, the programme also needs to be mindful of losing its focus, and of becoming all things to all people, with a risk of actually achieving little. Rather, the programme should set a clear new direction, and reorient the programme's focus on the development of sound institutions for local governance that are financially sustainable at the organization and livelihood levels, and capable of monitoring and sustaining the natural resource base in an integrated manner. This shift in focus would serve to strengthen conservancies as the means to provide local level coordination, and also help to direct the partnership to develop new alliances that are responsive to the needs of local communities.

Forging new alliances will require imagination, perseverance and a willingness to look at things in new ways, but, in return, it should bring new energy and innovation into the programme. NACSO and its members should identify potential synergies and pursue strategic alliances, partnerships and/or expanded membership with a much wider group of potential partners including, for example:

- Other GRN Departments working on rural land & livelihood issues linked to CBNRM
- Additional development NGOs working on natural resource management, enterprise development and other aspects of rural development (e.g. DRFN/NAPCOD)
- Educational institutions capable and interested in providing CBNRM training (e.g. Polytechnic, UNAM)
- CANAM



- Private sector organizations directly involved in CBNRM enterprises (e.g., Joint Venture partners, professional hunters, tourism association, etc.)
- Private sector organizations interested in supporting conservation and rural development (e.g., banks, industries, service organizations, etc.). These groups could become NACSO Supporting Members, or CBNRM Sponsors at several levels. Another option would be to develop NGO-Private Sector Partnerships in support of CBNRM.

The NACSO “visioning” document includes recommendations to “opening the doors” of the CBNRM program in a pro-active way to involve other development sectors and actors in addition to those traditionally linked to conservation. The decision several years ago to seek the involvement of organizations such as NDT and RISE was partly based on a desire to bring in groups with more general rural development experience. The way these groups have become integrated into the CBNRM partnership has pushed them to conform to the pre-existing programmatic approach (wildlife, tourism, natural resource monitoring) rather than having the addition of new organizations and experiences lead to a broadening of the program model. An opportunity to create much needed diversity and innovation was squandered. LIFE could help to recapture these opportunities by introducing private sector groups to NACSO members, and by supporting information sharing and broader participation in CBNRM workshops as a means to stimulate progress and of build bridges between potential new partners and current NACSO members.

Political support is essential if the CBNRM programme is to flourish. Primary responsibility for seeking additional political support must come from the conservancies themselves as well as from the emerging Regional Conservancy Associations. Concurrently, periodic briefings and field visits for senior political leaders should be arranged by NACSO. LIFE could also assist by providing support to NACSO to hire an additional staff person to work with the emerging Regional Conservancy Associations.

As the programme reaches out to develop new strategic alliances, it can help the partnership to address high priority emerging national issues, such as poverty alleviation through rural development, the HIV/AIDS pandemic, conflict and conflict management, and the realities of drought and desertification.

#### *Linking CBNRM and Poverty Alleviation*

Two-thirds of Namibia’s 1.7 million people live in rural areas and are directly dependent upon natural resources for their economic well-being. Given the aridity and relatively low productivity of much of the land, as well as the problems associated with uncontrolled grazing and overuse of natural resources, communities living in communal areas are particularly impoverished. The poorest 55% of Namibians account for merely 3% of GDP, with a per capita income of less than US\$100 per year. In contrast, the richest 5% of the population control 71% of GDP with an average per capita income of US\$14,000 a year.<sup>2</sup>

The government is committed to addressing rural poverty, and the inequities in income distribution and wealth between rural and urban areas, and between farmers in communal areas

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<sup>2</sup> A.S. Kruger, ed. *Coping in a Fragile Environment: The SARDEP Experience*. February 2001, p. xvii.

and freehold or commercial farmers. CBNRM can provide a powerful and effective means to alleviate poverty while redressing inequities in rights to benefit from the management and sustainable use of natural resources. Reorienting the programme towards improved governance and growth in economic benefits is directly relevant to improving livelihoods through increased natural resource productivity—a precondition of alleviation of rural poverty.

#### *Helping to address the HIV/AIDS Pandemic*

Although development of an HIV/AIDS policy is an objective of the NACSO vision report, no action has been taken on this. The DEA/NACSO information team and NNF monitoring team have expressed interest in leading this discussion within NACSO, possibly as a separate HIV/AIDS working group. Eventually the conservancy associations in regions may also need to play a role in spreading awareness and prevention efforts in rural Namibia.

It is suggested that the CBNRM programme help to address HIV/AIDS by focusing on two levels: 1) Working with LAC to establish a NACSO policy on HIV/AIDS and CBNRM that could serve as a model for member organizations and conservancies that wish to establish their own internal policies; and 2) Providing contact information for field-based member organizations that seek to develop partnerships with groups having an HIV/AIDS extension mandate. (See annex F for more detailed suggestions.)

Family Health International (FHI) is an international NGO working in Namibia with support through USAID/Namibia's Strategic Objective #5. Their suggested approach for the program is starting with organizational policies that focus on prevention of infection and awareness raising in staff and community-level trainees, of how the disease is, and is not, spread. They note that planning for the effects of HIV/AIDS on staff, trainees, and communities/households in general is important for program sustainability. A general number for Namibia to note is that an estimated 15–20 percent of the population is infected and will die within 5–10 years; in Caprivi the estimate is closer to 30 percent. Thus a recommendation is that organizational and CBNRM program policies should account for this potential loss by building capacity in all program areas, in two to three persons instead of just one. This will also help offset losses due to the high demand for qualified personnel throughout Namibia, which is now leading to high turnover in NACSO's member organizations.

Specific activities for the program could begin with research on the resources available for extension in HIV/AIDS awareness and prevention programs in rural Namibia, research on the impacts of the disease on CBNRM programs in other African nations, and discussions with FHI, SMA, and USAID about potential coordination. There is already demand and interest on the part of communities in Caprivi for training and awareness programs, according to IRDNC's CRM Coordinator there. FHI is partnered there with the Social Marketing Association (SMA), which provides training and extension and radio programming on HIV/AIDS prevention. One potential activity might be for SMA and IRDNC in Caprivi to collaborate on a radio program, which could then be adapted for use in Kunene as well.

In sum, the team suggests:

- Use DEA/NNF interest to develop HIV/AIDS focus group within NACSO
- Develop a specific policy to address HIV/AIDS, including implementation mechanisms

- Identify useful source and reference documents, educational materials, etc.
- Provide contact points for support services in this area to conservancies, NGO partners and other interested parties.

### *Conflict & conflict management*

With its attention to delineation of boundaries and planning for the use of natural resources, CBNRM activities often bring simmering conflicts to the fore. Local communities and the support organizations need to be able to resolve potential conflicts creatively, seeking win-win solutions. Conflict and conflict management are themes that are beginning to emerge in the Namibia CBNRM programme (e.g., cattle in the Salambala core wildlife zone) and are certain to increase over time. The Review Team strongly endorses that recommendation of the 2000 CBNRM Association Conference that conflict management/resolution capacity be developed within the programme, or outsourced if partners have become too close to a particular situation for too long or are vested in the conflict.

### *Drought & desertification*

The CBNRM programme should also logically have a great affinity with efforts to control desertification and reduce the vulnerability of local communities to the potential disruptive effects and hardships associated with periodic droughts. The Namibian Programme to Combat Desertification (NAPCOD) has grown out of Namibia's Green Plan, the Government's framework environmental policy document prepared for the UN Conference of Environment and Development in 1992. NAPCOD is a cross-sectoral component of Namibia's strategy to operationalise the Green Plan. NAPCOD recognizes that poverty, population growth and desertification are intimately linked. Beginning in 1994, the government has committed itself to combat the processes of desertification in Namibia by promoting the sustainable and equitable use of natural resources. A key programme element that supports the implementation of the NAPCOD strategy is the Sustainable Animal and Range Development Programme (SARDEP). This programme was launched in 1991 to develop and demonstrate range management and improved livestock production strategies in pilot communities in the communal areas of Namibia. Over the past decade, the SARDEP programme has recognized the centrality of participatory approaches to improved natural resource management and community-level capacity-building as well as the development of a sound policy framework. The approach now aims to "facilitate a process through which people are empowered to create the capacity to manage their own interests and to endeavour to formulate a policy framework in which they can thrive, and win the battle against hunger, poverty and land degradation or desertification".<sup>3</sup>

The SARDEP programme, NAPCOD and the associated Namibian Economic Policy Research Unit (NEPRU) are potentially very strong allies of the CBNRM programme, and increased collaboration between the two groups should generate strong, mutual benefits and synergies. Both groups have been involved in the highly successful "Forum for Integrated Rural Development" in the Grootberg pilot area (Khorxias). This pilot approach could be more widely supported by a joint effort, and more information and research findings could be exchanged as well. To date, a major obstacle to collaboration has been the identification of the conservancy programme with MET, and the SARDEP programme with the Ministry of Agriculture, Water

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<sup>3</sup> A.S. Kruger, ed. *Coping in a Fragile Environment: the SARDEP Experience*. February 2001, p. ix.

and Rural Development. With increased recognition of the relevance of CBNRM activities to rangeland management, desertification control and rural development, both programmes could be strengthened by collaborative efforts to improve the policy framework for sustainable NRM and for further empowerment and capacity-building of community-based organizations committed to improved NRM<sup>4</sup>. To date, the links between CBNRM and the NACSO partnership, and the various programmes of the Ministry of Agriculture, Water and Rural Development, including SARDEP and NEPRU, are only weakly developed; both programmes could be strengthened by seeking out opportunities to collaborate on policy reform, participatory planning and capacity-building of community-based organizations. Recommendation: LIFE/NACSO convene a meeting/workshop with NAPCOD to define synergies.

## 6. *Get economic benefits flowing to conservancies*

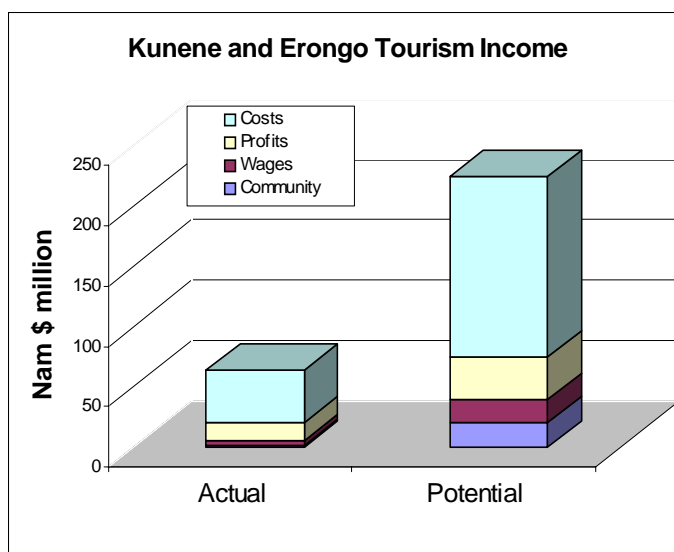
Empowerment is important, intangible benefits are important, biodiversity conservation is important, but there is no driver for the CBNRM programme **more** important than tangible economic benefits. After many years of hard work getting the enabling conditions right, testing pilot programs, learning from failures and building on successes the CBNRM programme is poised to make a great leap forward. The engine that will power that leap is economic benefits flowing to the conservancies.

### *Potential Viability of Individual Conservancies*

A critical question is whether conservancies can become financially viable? To date, only one conservancy (Torra) is viable. Triangulation information suggests that viability is achievable. Detailed models (Barnes et al. 2001) show all five conservancies modelled to be financially viable, with financial returns on investment somewhere between 20% and 40%. All easily cover operating costs, with a significant boost to household income ranging from US\$400–600 in more populated, lower potential conservancies (e.g., Salambala, Khoadi/Hoas) to US\$1,600–3,400 in much of the North West and parts of Caprivi (e.g., Mayuni). Our calculations suggest that most conservancies in the North West can support at least two tourism enterprises, earning upwards of US\$500,000. Several have far higher potential.

### *Commercial Potential of Tourism Sector in Conservancies*

**Figure 3.2 The Actual and Potential Tourism Economy in North West Namibia**



<sup>4</sup> See, for example, R. Dewdney, *Policy Factors and Desertification—Analysis and Proposals*. NAPCOD Steering Committee, April, 1996. This analysis is due to be updated in the near future, to take account of recently adopted policies and legislation.

The second issue concerns commercial potential, and the constraints to achieving this. The figure (for the Northwest, but indicative of tourism in Caprivi and safari hunting in general) shows large potential. Conservancy tourism could earn US\$300 million annually, with the multiplier implying a US\$600 million contribution to the Namibian economy. However, the tourism economy is operating at less than one quarter of this potential. Communities are leveraging less than 0.5% of this income as a consequence of historical disenfranchisement.

These symptoms can be traced back to a central cause: **the lack of local control over access to land and other natural resources in communal areas.** A second cause is unimaginative leadership of the Namibian tourism industry, with little accountability for correcting these problems or grasping the huge opportunities.

While uncontrolled access and weak tourism leadership manifests itself most visibly in environmental damage and uncontrolled 4x4 tourism, the damage is far wider and of great magnitude. Economically, open access to conservancy areas allows tourists (mostly foreign) to benefit from the spectacular wildlife, culture and scenery **without paying for it.** With no clear responsibility for these areas, tourism routes and sites remain unplanned. This opportunity cost can be measured in the hundreds of millions of dollars.

Communal landholders have insufficient rights to control tourism on their land. They acquire a pitiful share of revenues, are unable to control irresponsible use, and are hamstrung in developing the potential of the tourism sector. Reversing this injustice, through the facilitation of exclusive tourism rights (PTOs), coupled with assistance to negotiate joint ventures, should quadruple the size of the sector, increasing user fees twenty-fold. Incorporating a minimum use fee equating to 10% of turnover at 40% bed occupancy would prevent ineffective use of prime sites. The use of some sites largely for (free) personal use is imposing a large opportunity cost on both Namibia and conservancies.

The tourist sector, including planning, the product, and private operators, is unimaginative. The range of services and rates are generally far lower than the regional average. The high-end market has hardly been targeted, although it grew while the traditional market shrank 30–40% in response to regional instability. Etosha, which could be used to spearhead the tourism industry, to set standards, and to upgrade prices (rather than undercut them by providing subsidized access to wildlife), is symptomatic of the weak/unimaginative enabling environment. The opportunity to use Etosha imaginatively to boost the Northwestern tourism circuit, is being squandered and is costly in terms of Namibia's tourism sector in general and the conservancies in particular.

The sector is inbred and undercapitalised. Policy and incentives should be designed to attract international investors. The banking system is old fashioned. The tax structure has not been revised to support new business, and the possibility of tax-breaks for investments in communal areas and conservancies should be considered. While there is no shortage of small enterprise credit, the limiting factor is the technical capacity to write business plans to access this credit.

In a nutshell, proactive management by countries such as Botswana has captured the high value, low impact market. The low value, high cost (environmentally) sector has been 'exported' to Namibia.

Namibia's tourism in conservancies could be quadrupled, if conservancies are given more rights to control access and negotiate hunting and tourism agreements, and if they are helped to develop imaginative tourism/commercial plans and to negotiate fair deals with private sector partners. In direct contradiction of national policy, conservancies are failing to get an equitable share of the tourism sector.

To help conservancies through the process of planning and selling their tourism opportunities, this Review strongly emphasizes the strengthening the Business Enterprise/Institutional Team. This may seem a strange combination of skills, but revenue is crucial to conservancy sustainability, and the way it flows (top-down, or bottom-up), and is accounted for will determine their ultimate institutional and social sustainability.

#### *Was USAID's Investment Worthwhile?*

The third question we need to answer is whether USAID's investment in the LIFE-supported CBNRM programme was worthwhile. The short answer is yes—but only if specific measures and investments are made to build a sustainable, profitable, democratic wildlife-based rural economy on the solid foundation so far developed.

In partnership with others, USAID has laid the foundation for a major wildlife-based tourism industry. Protection has created an expanding wildlife resource, while community institutions are in place to build a tourism industry on this foundation.

The present value of this industry is roughly US\$10 million annually, with community benefit still being restricted to wages (US\$1 million annually). However, the cornerstones (wildlife, institutions) are now in place for major growth. With careful investment and prioritisation, largely of business enterprise and institutional development capacity, tourism could earn US\$35–40 million annually from conservancy areas. If sound negotiation ensures US\$3–4 million accrues to conservancies in user fees, with a similar amount paid out in wages, this will contribute US\$115 per capita income to the 60,000 people living in viable conservancies, doubling the average annual income for a rural Namibian from US\$100 to US\$215.

The programme has contributed to a multi-fold increase in wildlife populations, and to a social foundations and the active protection of desert elephants and rhino. A rough estimate is that the annual harvestable value of wildlife to the landholder in North West Namibia (assuming all policy limitations are removed) has increased from US\$65,000 in 1980 to US\$2 million in 2000, enough on its own to justify USAID support. All biodiversity, not only usable wildlife populations, has benefited from increased protection, monitoring and management.

Additionally, the programme has empowered 14–49 communities (some 100,000 people) with additional rights, information and knowledge, and earning potential. To this we should add some ten functioning NGOs, half of which are now headed by previously disadvantaged Namibians.

Finally, the process has created both capacity and knowledge. The value of the Namibian programme as repository of knowledge and a cornerstone for the continued expansion of CBNRM once regional macro-conditions are again conducive to devolution and democratisation is inestimable.

### ***7. Strengthen existing rights and secure additional rights for the conservancies***

While the rights to wildlife that form the foundation of the CBNRM programme are important, and much heralded around the world, they are only a first *small* step in securing the land and resource rights that Historically Disadvantaged Namibians living in conservancies need to secure their future livelihoods. Following the adoption of new policies in 1995 and 1996 on wildlife management and tourism, people living in communal areas were empowered to *benefit* from wildlife and community-based tourism development. The devolution of these rights and assurance of these benefits provided a strong *incentive* to form conservancies, and to protect and manage the wildlife and other natural resources.

However, the experience with the establishment and functioning of conservancies over the past few years has underscored the need to further empower local communities with the additional rights needed to be able to *manage* wildlife and other natural resources. Management and sustainable use are not possible if there are no provisions for local controls on access and use of natural resources. Conservancies have gained ownership rights over huntable game, but additional resource rights, increased security of land tenure and an explicit recognition of their authority to set quotas, orient land use and exclude inappropriate or unsustainable uses of natural resources are needed in order to proceed with the implementation of land use and tourism planning, zonation and NRM plans.

Increased local level controls on resource use must also be affirmed in order for conservancies to be able to capture their rightful share of economic benefits from resource use, and to limit degradation of natural resources from overuse. Ideally, communities should receive full use rights and rights of exclusion, as on private land, in order to fully benefit from the social and economic gain from instituting systems of joint or community-based ownership. Strategically, the programme should first assist communities to capture full use / exclusion rights for tourism and hunting, given the high potential value of these resources. There is also a greater opportunity to make these changes, as systems are not yet entrenched and this action is consistent with the powerful argument that outsiders are unfairly and inequitably exploiting the resources of HDNs without paying for them. Additionally, while communities can exert some social controls on “insiders” and have reasonable influence on natural resource use by the local community (except in times of drought), they would otherwise have almost no influence over tourists passing through the region.

The current policy and legislative framework has also tended to shift from state control to committee-based natural resource management. Existing MET regulations are quite specific about the powers and authorities of conservancy management committees, and act to hold the committees accountable to MET. Recent trends in policy implementation and other regulatory provisions run the risk of reverting to increased control and oversight by MET. The policy and legislative framework needs to be strengthened further to fully devolve rights to local communities, and to ensure that management committees are elected by and accountable to the members of the local community, in a democratic and transparent manner. The communities should be empowered to orient and oversee the provision of support services needed to ensure the sustainable use of their natural resources, and in this manner, hold the MET and other line ministries and service providers accountable to them.

Clearly, this shift in accountability and strengthening of rights at the local level implies a new role and emphasis for MET. MET and other line ministries with a mandate to support CBNRM need to move away from the historical “command and control” paradigm that disempowered rural communities, to focus their efforts on the establishment of a more favourable policy and legislative framework for CBNRM and the more efficient provision of technical support services in response to local needs. A key role of MET in the future will be to ensure that performance compliance and monitoring systems are in place and provide sufficient information to local communities to enable them to achieve their local development objectives as well as national policy goals.

#### ***8. Develop a more robust system for monitoring and communicating Programme accomplishments***

The Review Team was surprised to find that although some investments have been made by LIFE in Monitoring & Evaluation (including socio-ecological surveys, PRAs, institutional assessments, etc.), this capability has **not** been institutionalised within the NACSO partners. Furthermore, the M&E data managed by LIFE is limited to LIFE target areas rather than the national programme.

Not only has this M&E capability not been institutionalised elsewhere, but it appears to have been lost within the LIFE program itself less than two months after the departure of the MSI expert responsible for M&E. This is a powerful lesson for the remaining years of LIFE: **systems developed by the program must be transferred to and institutionalised within Namibian partner institutions well before the departure of WWF/LIFE personnel.** NNF staff are currently working to establish an M&E system for the national programme, starting more or less from scratch.

As the partnership develops a more comprehensive and robust M&E system, the indicators selected for performance monitoring should serve to guide and reinforce the programme’s direction. It is therefore recommended that these key indicators be identified collectively by the partnership (even if the central database is managed by NNF) and that they are applied nationally.

It is further recommended that indicators be summarized in a visual format, and form the cornerstone of regular peer reporting and review within conservancies, at regional meetings and in national workshops. To avoid the previous system whereby monitoring was essentially disconnected from the management process and externally driven (by reporting requirements for USAID’s annual “R-4” report, and other donor requirements), reporting on indicators should be built into the checking and balancing system operative at the community level. Thus, quotas would depend on post-hunt reporting, additional grant funds on reporting on institutional development, etc.

#### ***9. Proactively manage the LIFE transition***

The Review Team is **recommending that USAID continue to fund a CBNRM programme in Namibia for the next 10 years** in order to allow the investments of the last ten years to bear fruit. Given changing political priorities and development fads, the likelihood that this will happen is not high. USAID, the LIFE Steering Committee and NACSO need to work together to



determine the best uses for remaining resources, while at the same time continuing to aggressively make the case for continued funding. Review Team suggestions on the WWF transition are presented in the next section of this report.

#### ***10. Secure funding for the medium term and financial sustainability over the longer term***

As the National CBNRM Programme expands and evolves further, the Ministry of Environment and Tourism, other NACSO members, USAID and other donors are increasingly concerned with the overall sustainability of the programme. In addition to the strengthening of community based tourism and related enterprise developments aimed at achieving financial sustainability at the conservancy level, the review team recommends that MET, NACSO and other key programme stakeholders work together to develop a sustainable financing strategy and plan for the National CBNRM Programme.

The CBNRM programme has successfully diversified its funding base in recent years (e.g., SIDA, WWF/UK). As bilateral funding for CBNRM becomes increasingly scarce, this drive to diversify must continue. However, the currently high level of dependence on external funding leaves the program vulnerable. Substantially increased attention must be devoted to reducing program costs, accessing internal resources and aggressively pursuing a range of sustainable financing options<sup>5</sup>. Importantly, each conservancy must be put on a clearly defined pathway to financial self-sufficiency.

The development of a sustainable financing strategy should take full account of the proposed support to be mobilized through the Global Environmental Facility (GEF) grant as well as other potential medium and longer term sources of development assistance from external sources.<sup>6</sup> Potential linkages between the CBNRM programme goals and bilateral aid from the German, Swedish and Finnish governments as well as UNDP assistance could be examined. Additional assistance for the Namibian programme might also be mobilized over the medium term through regional CBNRM support programmes funded by DFID, USAID, WWF, IUCN, African Wildlife Foundation, Conservation International and others. To facilitate the mobilization and coordinated programming of external assistance for CBNRM, USAID and other interested donors should take a more proactive role in information sharing and donor coordination. Additionally, NACSO members should earmark funding and time specifically to represent the national programme to Program/Desk Officers for the key donors, Foundations and NGOs in the region with the prospect of following up in Europe and in the United States.

The Review Team feels that internal sources of programme funding could also be mobilized to a greater degree in support of the national CBNRM programme. These internal sources of funding should be carefully identified and deliberately tracked to ensure that they are efficiently and fully utilized. This would include the continuing support from the National Development Budget (NDP2) and the Game Products Trust Fund (GPTF), as well as the planned support from the Environmental Investment Fund (EIF). Additional details are provided in annex H.

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<sup>5</sup> The Review Team's suggestions on reducing program costs are presented in section 1 and in annexes C, F and G. More detailed suggestions for accessing internal resources are presented in annex H.

<sup>6</sup> See B. Jones, "Support to Development of CAN/MET", proposal to GEF for Project Development Funds, August 2000.

The sustainable financing strategy could also explore the possibilities for mobilizing additional resources through fiscal policy reforms and related initiatives aimed at:

- Creation of additional “trust funds” and endowments designed to support conservancies (especially where needed to protect non-profitable biodiversity values), in collaboration with the private sector, international NGOs and Foundations.
- Increasing access to investment credits available through programmes designed to support small and medium size enterprises; the CBNRM programme could assist with business planning and other technical support in order to enhance the ability of local communities and entrepreneurs within conservancies to receive and effectively utilize this type of financing.
- Exploration of additional financing that could be mobilized as part of the climate change/carbon trading agreements or other international conventions; contrary to conventional wisdom, there is likely to be a significant opportunity to restore degraded rangelands and habitats subjected to desertification in Namibia through the increased sequestration of carbon in soils, as a result of land use controls, range improvement and soil fertility management.

Fiscal policy reforms could also be designed to encourage conservancies to proceed with development planning and the implementation of NRM plans. As an added incentive for planning and management, communities could benefit from lower tax rates or tax rebates on products and services resulting from the sustainable use and management of natural resources (for example, wood products from a managed community forest would be taxed at a lower rate than wood harvested from open access, unmanaged forests).

In due course, the sustainable financing strategy for the programme should factor in a phased reduction in grants to conservancies and other CBOs, and a corresponding increase in the level of cost-sharing by local communities. It would be a mistake to underestimate the potential for mobilizing funds at the local level, particularly once communities appreciate the potential rate of returns on CBNRM investments and once the systems are in place to support the establishment and successful operation of such ventures. Over time, as conservancies increase their financial management capacity and improve their credit worthiness, the programme can also shift to a greater reliance on commercial sources of credit that can be obtained directly by the conservancies to finance planned investments.

Similarly, the longer term sustainable financing strategy should take account of a need to shift towards direct purchase of services by the conservancies from the full range of available service providers (public, NGO, private sector), on a competitive basis. The programme could begin to introduce the concept of “fee for service” to conservancies, possibly with grants and other subsidies being reduced in a stepwise manner, from 100%, to 20% or less over a ten-year period.

## 4. The WWF Transition

### 4.1 From Management to Mentoring

As has been noted several times already, WWF/LIFE staff need to move from the front seat to the back seat in program implementation, from a management to a mentoring role. Recommendations on how to operationalise this shift are discussed below, as well as in annexes B and F.

### 4.2 Grant Management

WWF/LIFE currently manages 10 grants (NACOBTA, RISE, Salambala, IRDNC, NNF/Capacity Building, MET CBNRM Support, Nyae Nyae, MET Training, NACSO and Rossing Foundation Crafts). Management of these grants needs to be transferred to NNF in a deliberate, phased manner that prevents unnecessary disruptions. The first step in this process is for USAID to develop a Cooperative Agreement with NNF. This process should begin immediately.

### 4.3 Technical Support

The Review Team recommends that the WWF Cooperative Agreement be extended through April 2003 (for its full 10-year life) and that the WWF/LIFE Team be kept in place through this period. Whether the Team stays physically together in Kenya House or splits and moves into other NACSO organizations depends on whether USAID support will be phasing out in 2004 (as currently planned) or can be continued beyond this point. If the phase out is to be in 2004 (or earlier), the Review Team recommends that the WWF/LIFE Team be kept together to maximize their joint contribution to the national programme. While splitting the Team and incorporating them into Namibian institutions might be politically correct, it would be operationally cumbersome and, more importantly, would hamper the synergies which have been important in getting the NRM and business development pieces of the program off to a rapid start in recent months. If the program can be continued beyond 2004, the design of the follow on activity should include technical assistance that starts off incorporated in NACSO partner organizations from the beginning.

In our view, **a change in working style is more important than physical location at this point.** We recommend that all WWF/LIFE job descriptions be revised and that mentoring of Namibian counterparts become the highest priority task for the remainder of the Cooperative Agreement, with clear performance measures that are tracked and reported on. In this regard, each TA should identify two to three protégés in partner or related institutions, including conservancies. Their relationships should be formalized using written expectations and assessed through regular performance reviews.

The Review Team recommends that the WWF/LIFE Team needs to be augmented with social/institutional skills and with additional enterprise development skills, recruited locally if possible. The rationale for these additions is presented in annexes F and C respectively. The

Team is acutely aware that adding staff while entering a phase out mode is counterintuitive, and all the more so with a declining budget. We believe that costs savings will be possible through implementation of the Team's recommendations on more streamlined planning, use a Training of Trainers approach and a bottom-up, demand driven provision of support services to conservancies. Whether these savings will be sufficient is something that USAID, WWF and the NACSO partnership will need to carefully consider.

#### **4.4 Institutionalisation of the Team Approach**

Over the past two years, the LIFE programme and NACSO partners have assembled a top-notch team of NRM specialists and field workers committed to support communities in delineation of boundaries, mapping, natural resource monitoring, compilation of resource inventories, the development of NRM plans and related planning and management activities<sup>7</sup>. The philosophy and cooperative working relationships of these individuals and organizations is to be commended. With technical leadership and support from the WWF/LIFE NRM specialist, the NRM team has developed a number of innovative and well-adapted tools, techniques, approaches and methods and helped build capacity in the use of these tools<sup>8</sup>. Similar progress has been made over the past year in organizing a team to support the development of community-based tourism, business planning and enterprises.

A particular strength of the team approach has been the identification and inclusion of staff from several different support organizations in a collaborative effort. The teams have progressively developed as key contact persons or technical specialist within each organization are recruited and brought into the "virtual" team. They are not housed in the same organization, but with leadership and support from the "team leader", they plan activities together and work as a team to develop and apply new tools and approaches designed to achieve the programme's objectives.

At present, the teams are still relatively loosely structured. Over the next year, they intend to strengthen a two-tier structure, with a central coordination team based in Windhoek, composed of senior, core technical advisors, and regionally based teams with staff employed by the NGO support organizations and other locally recruited field staff. With the establishment of the CBNRM Unit in MET, these teams can be further strengthened by incorporating headquarters and field level MET staff to a greater degree into the ongoing teamwork.

This approach has allowed the programme to acquire a "critical mass" of specialists that are needed to address the increasing demands for technical support services at the field level. This team approach has also enabled the technical support specialists mobilized through WWF/LIFE to simultaneously build capacity within several different support organizations at once (DEA, NNF, IRDNC, RISE, for example, in the case of the NRM team). It is recommended that this

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<sup>7</sup> This team has been variously labelled as the "knees team" (because they are often in the field, wearing shorts), the "MIU" team (because they began as a management information unit, helping the conservancies with boundary descriptions, mapping and providing GIS data and other information for resource inventories and management plans), and most recently the "NRM" team because of their focus on the development of NR monitoring tools and technical support for NRM planning processes.

<sup>8</sup> See draft note "Providing Technical Support in Natural Resources Management to the CBNRM Programme in Namibia", prepared by Greg Stuart-Hill, Jo Tagg and the NRM team, July 2001.

approach be replicated by the Business Enterprise and Institutions Team but with the additional component of structured mentoring.

As the demand for technical support and service delivery to the conservancies continues to grow, and as the WWF/LIFE technical advisors shift from a managing to a mentoring role, the institutionalisation of these teams in the three critical areas of institutional development/capacity building, NRM planning and CBT/business planning/enterprise development is an important means to help the national CBNRM programme to achieve its ambitious objectives and become more sustainable.

#### **4.5 Regional Links and Learning**

LIFE benefited greatly from regional exposure in the early phases of the programme. For a variety of reasons, this external stimulation has been somewhat lost. Given the maturity of the programme in terms of confidence and the handling of constructive criticism, and its organizational competence and ability to both question new ideas and to quickly incorporate good ones into the programme, this learning process should be re-incorporated, including links to regional institutions that can serve as a quality critic such as CASS and PLASS.

**Table 4.1 Proposed Action Plan for WWF/LIFE and National CBNRM Programme Stakeholders, 2001–04**

<i>Lead Organization</i>	<i>Action Items and Timeframe</i>			
	<i>Initiated by December 2001</i>	<i>Completed before November 2002</i>	<i>Completed before October 2004</i>	<i>Longer Term</i>
<b>Conservancies</b>	<ul style="list-style-type: none"> <li>• Reorient to bottom-up institutional structures; adopt a Second Generation CBNRM Model</li> <li>• Develop a strategy and principles for strengthening grassroots democratisation based on full, transparent, accountable participation through village based units.</li> <li>• Use revenue sharing as the primary vehicle to drive this process, but support with all programmatic activities including grant funding</li> </ul>	<ul style="list-style-type: none"> <li>• Equitable revenue sharing mechanisms in place in all conservancies generating income; individuals should have democratic control over 80% of these revenues</li> <li>• Village-level democracy implemented and monitored using indicators related to transparency, accountability, democratisation and equity</li> </ul>	<ul style="list-style-type: none"> <li>• Village-level democratisation firmly entrenched in programme</li> <li>• Increase attention given to conflict management and contingency planning in CBNRM plans</li> </ul>	<ul style="list-style-type: none"> <li>• Sustain and reinforce shift to participatory, grassroots democracy built upon smaller, village based units</li> <li>• Consolidate and strengthen reorientation to bottom-up institutional structures and adoption of a second generation CBNRM model</li> </ul>
<b>Conservancy Associations</b>	<ul style="list-style-type: none"> <li>• Follow through on preliminary consultations to formalize plans for the establishment of regional and national conservancy associations</li> <li>• Explore potential relationships with CANAM and other private sector Associations</li> </ul>	<ul style="list-style-type: none"> <li>• Establish regional and national conservancy associations</li> <li>• Where appropriate, formalise relationships between conservancy and other Associations</li> </ul>	<ul style="list-style-type: none"> <li>• Strengthen national and regional conservancy associations</li> <li>• Increase level of contributions to policy debates and sector planning</li> </ul>	<ul style="list-style-type: none"> <li>• Conservancy Associations actively represent interests of their constituents in national and regional policy dialogue and sector planning</li> </ul>
<b>MET</b>	<ul style="list-style-type: none"> <li>• Establish CBNRM Unit and clarify roles and performance expectations; recruit Deputy Director (to be funded by USAID)</li> <li>• Arrange formal launch of National CBNRM Programme</li> <li>• Organize a public review of the revised draft of the Parks and Wildlife Management Bill</li> <li>• Formally adopt guidelines for conservancy management plans</li> </ul>	<ul style="list-style-type: none"> <li>• Complete training and equipping of CBNRM Unit</li> <li>• Streamline and decentralize procedures in support of CBNRM</li> <li>• Facilitate and coordinate annual review of conservancy performance (linked to M&amp;E)</li> <li>• Strengthen CBT legislation to give communities greater rights to control tourism and hunting activities</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure that CBNRM Unit is fully staffed, functional, benefiting from continued capacity building efforts and accountable for performance targets</li> </ul>	<ul style="list-style-type: none"> <li>• Integrated development planning is supported at the local level in conjunction with poverty alleviation, desertification control and other sustainable development programs</li> </ul>

<b>Lead Organization</b>	<b>Action Items and Timeframe</b>			
	<b>Initiated by December 2001</b>	<b>Completed before November 2002</b>	<b>Completed before October 2004</b>	<b>Longer Term</b>
	<ul style="list-style-type: none"> <li>• Implement human resources development (HRD) plans developed with USAID assistance and commit more to MET training budget</li> <li>• Publish and broadly disseminate an expanded CBNRM Tool Kit</li> </ul>	<ul style="list-style-type: none"> <li>• Promote greater involvement and information sharing with other GRN ministries and NGOs</li> </ul>		
<b>MET and Other GRN Ministries</b>	<ul style="list-style-type: none"> <li>• Convene the first of a series of periodic inter-ministerial CBNRM program reviews (to be facilitated by NPC)</li> <li>• Provide increased legitimacy and recognition of NRM plans prepared by conservancies</li> <li>• Strengthen rights of CBOs to control access to NRs</li> <li>• Establish a logo for the National CBNRM Programme</li> </ul>	<ul style="list-style-type: none"> <li>• Establish inter-ministerial forum on CBNRM</li> <li>• Recognize conservancy as a special category of land use with local controls over NR use</li> <li>• Affirm rights and roles of conservancies in regional land use planning</li> <li>• Support harmonization of sectoral policies in support of CBNRM</li> </ul>	<ul style="list-style-type: none"> <li>• Formally recognize role of conservancies in the implementation of decentralization policies (through RDCCs)</li> <li>• Empower local coordination of the CBNRM planning process</li> <li>• Capitalize on opportunities to reinforce CBNRM through fiscal policy reforms</li> </ul>	<ul style="list-style-type: none"> <li>• Develop strategy to mobilize additional internal resources for CBNRM (MTI credit, GPTF, EIF)</li> <li>• Elaborate a unified CBNRM policy and legislative framework</li> <li>• Adopt policies aimed at increasing land tenure security</li> </ul>
<b>NACSO Secretariat</b>	<ul style="list-style-type: none"> <li>• Help launch the National CBNRM Programme</li> <li>• Facilitate agreement by stakeholders on CBNRM performance monitoring indicators</li> <li>• Initiate measures to give conservancies greater control and responsibility in requesting technical support and training</li> <li>• Expand outreach and membership</li> <li>• Recruit facilitator to work with emerging Regional conservancy Associations</li> <li>• Constitute a working group to track policies related to land use planning, ownership rights, NR tenure,</li> </ul>	<ul style="list-style-type: none"> <li>• Establish HIV/AIDS policy</li> <li>• Develop information sharing system for partnership</li> <li>• Organize visit to Zambia to assess village-based model of conservancy organization</li> <li>• Promote greater involvement and information sharing with GRN institutions</li> <li>• Recruit a “legislative liaison specialist” and facilitate participation by conservancy members in review of pending CBNRM legislation</li> <li>• Complete M&amp;E system</li> </ul>	<ul style="list-style-type: none"> <li>• Strengthen partnership mechanisms with fee-based services, MOUs</li> <li>• Continue to host informal sessions with donors supporting CBNRM</li> <li>• Facilitate the emergence and development of regional conservancy associations</li> </ul>	

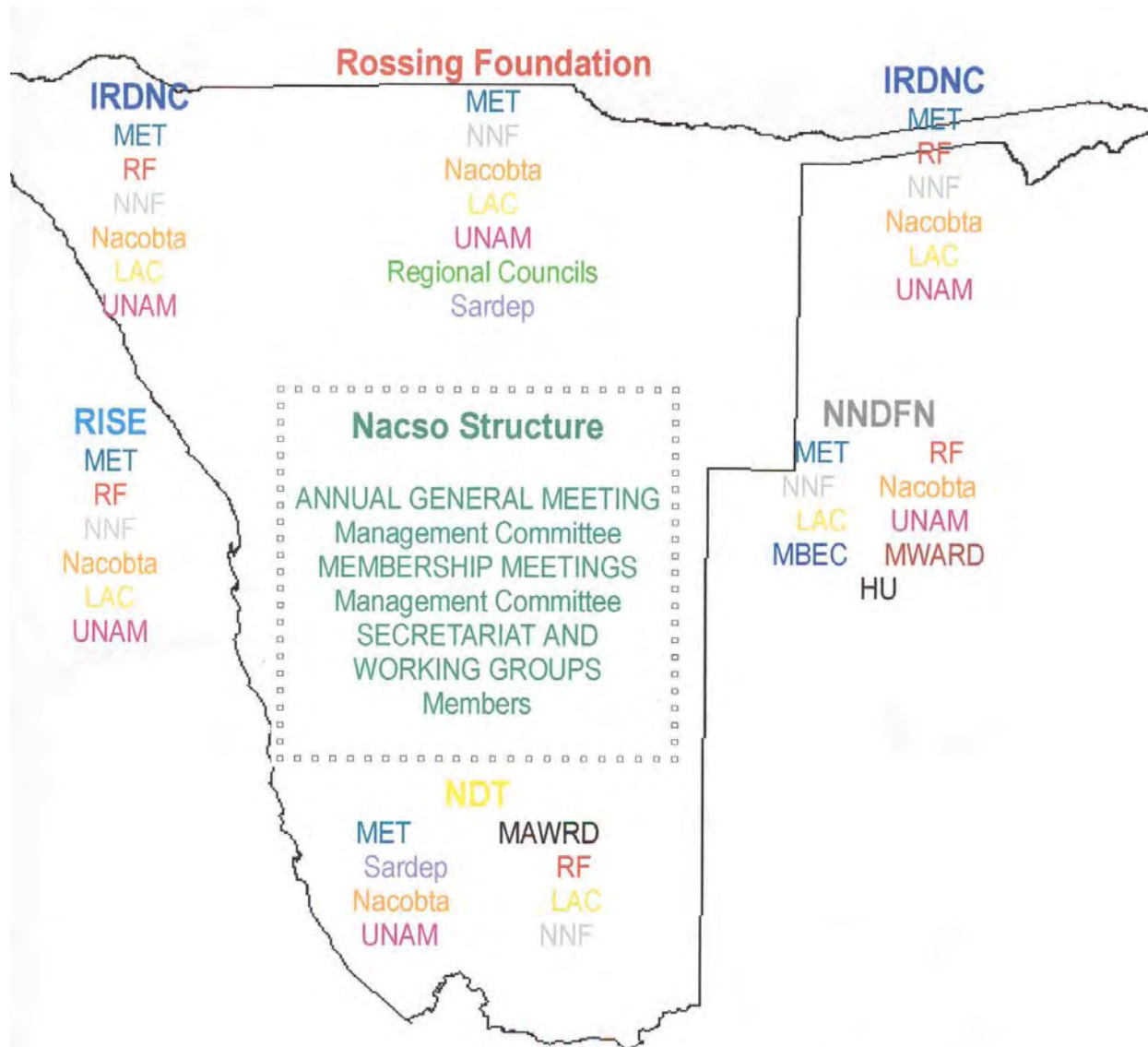
<b>Lead Organization</b>	<b>Action Items and Timeframe</b>			
	<b>Initiated by December 2001</b>	<b>Completed before November 2002</b>	<b>Completed before October 2004</b>	<b>Longer Term</b>
	forestry, fisheries, water and other NR sectors <ul style="list-style-type: none"> <li>Establish and operationalise Training Working Group with mandate to assess costs and effectiveness of service delivery</li> </ul>			
<b>NACSO Members and Support NGOs</b>	<ul style="list-style-type: none"> <li>Shift control of planning and development budgets and grants to Conservancies; manage costs</li> <li>Increase support for integrated development planning and equitable benefit distribution</li> <li>Address specific gaps noted in Table F1 (conflict management, facilitation, gender analysis . . .)</li> <li>Continue use of Conservancy and Institutional Development profiles</li> <li>Incorporate plans for toolbox, M&amp;E system, lessons learned and NACSO working group responsibilities into organizational work plans</li> <li>Develop relations with key regional program officers to broaden donor base</li> </ul>	<ul style="list-style-type: none"> <li>Establish formal links to Polytechnic to expand human resources for CBNRM activities</li> <li>Forge strategic alliances between community development and conservation organizations</li> <li>Increase conservancy-community feedback and monitoring</li> <li>Develop strategy to mobilize additional internal sources of funding</li> <li>Experiment with alternative service delivery approaches (e.g. training of trainers, trainee-networking models, community-based facilitators and NACOBTA outsourcing model)</li> </ul>	<ul style="list-style-type: none"> <li>Track and support measures aimed at increasing land tenure security and local control over NRs</li> <li>Peer review of performance indicators institutionalised at Conservancy, regional and national levels</li> <li>Promote integration of technical support team's response to locally coordinated planning process</li> </ul>	<ul style="list-style-type: none"> <li>Increase number and breadth of CBNRM support organizations and skills</li> <li>Invest in partnerships with rural development organizations</li> </ul>
<b>WWF/LIFE</b>	<ul style="list-style-type: none"> <li>Provide priority support for MET CBNRM Unit</li> <li>Establish a Business Enterprise and Institutional Team by expanding the present capacity of the LIFE partners in tourism planning/business negotiating, by adding institutional/social and hunting sector management capacity, and by</li> </ul>	<ul style="list-style-type: none"> <li>Roll out the process at the rate of at least six new Conservancy viability strategies, and six new joint venture negotiations annually</li> <li>Promote financially-based integrated development planning (with attention to commercial, social, NRM,</li> </ul>		



<b>Lead Organization</b>	<b>Action Items and Timeframe</b>			
	<b>Initiated by December 2001</b>	<b>Completed before November 2002</b>	<b>Completed before October 2004</b>	<b>Longer Term</b>
	<ul style="list-style-type: none"> <li>developing a virtual team of partners and trainees in the public, private and NGO sectors</li> <li>Facilitate two conservancies to develop plans for financial sustainability and initiate at least two joint ventures in support of these plans</li> <li>Re-prioritise programmatic direction to emphasize and support conservancy financial self-sustainability, reallocating resources from areas where redundancy or savings (e.g. service delivery systems) are possible</li> <li>Develop phase out strategy for technical advisors; emphasize mentoring and skills transfer for 2-3 persons in all program areas</li> </ul>	<ul style="list-style-type: none"> <li>institutional aspects) in parallel with this process</li> <li>Fund a study to review opportunities for fiscal policy reforms in support of CBNRM</li> <li>Support the development of a CBNRM program performance monitoring system</li> <li>Work with NACSO secretariat and partners to develop a screening tool to assess potential viability of Conservancies and to prioritise support interventions</li> <li>Help to develop a communications strategy for the programme</li> </ul>		
<b>Private Sector</b>	<ul style="list-style-type: none"> <li>Work with MET to streamline regulatory procedures</li> <li>Participate in synergy workshop with NACSO</li> </ul>	<ul style="list-style-type: none"> <li>Increase participation in NACSO association activities</li> <li>Expand role of private sector service providers in preparation and implementation of Conservancy development plans</li> </ul>	<ul style="list-style-type: none"> <li>Expand role of commercial financing of Conservancy enterprises and development plan investments</li> </ul>	<ul style="list-style-type: none"> <li>Strengthen partnerships between CBOs and private sector</li> </ul>
<b>USAID</b>	<ul style="list-style-type: none"> <li>Make case to Washington to keep USAID engaged in CBNRM</li> <li>Communicate results of CBNRM program assessment to GEF and other donors</li> <li>Adjust LIFE grant guidelines to support national programme</li> <li>Develop Cooperative Agreement</li> </ul>	<ul style="list-style-type: none"> <li>Extend WWF Cooperative Agreement beyond April 2003 as part of USAID Phase Out Plan or develop follow-on activity</li> <li>Implement inter-SO synergy recommendations</li> <li>Encourage donor coordination</li> </ul>	<ul style="list-style-type: none"> <li>Utilize opportunities for regional funding of CBNRM programme support</li> <li>Support documentation of lessons learned and “fewer products more capacity” approach</li> </ul>	<ul style="list-style-type: none"> <li>Encourage documentation of synergies between CBNRM, economic growth and poverty alleviation, grass roots democratisation, improved NRM and biodiversity conservation</li> </ul>

<b>Lead Organization</b>	<b>Action Items and Timeframe</b>			
	<b>Initiated by December 2001</b>	<b>Completed before November 2002</b>	<b>Completed before October 2004</b>	<b>Longer Term</b>
	with NNF to manage LIFE Grants <ul style="list-style-type: none"> <li>• Initiate inter-SO coordination</li> <li>• Initiate extension of WWF Cooperative Agreement through April 2003.</li> <li>• Initiate recruitment of social/ institutions specialist and house with appropriate partner organization</li> <li>• Proactively support design and approval of GEF project</li> <li>• Work with RCSA to insure that AWF/4-Corners project makes appropriate contacts in Namibia (MET, Caprivi Governor and NACSO)</li> </ul>	in support of CBNRM <ul style="list-style-type: none"> <li>• Support organization of a Regional Workshop highlighting LIFE/CBNRM programme accomplishments, lessons learned and evolving strategies, tools and approaches</li> </ul>		
<b>Other donors</b>	<ul style="list-style-type: none"> <li>• GEF/World Bank: Continue project preparation</li> <li>• Support preparation of sustainable financing strategy for national CBNRM programme</li> </ul>	<ul style="list-style-type: none"> <li>• GEF/World Bank: Finalize project and initiate implementation</li> <li>• Provide continued funding of critical support services to enable Conservancies to become sustainable</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure support for CBO planning/ management support teams beyond 2006 (estimated period of peak demand)</li> </ul>	<ul style="list-style-type: none"> <li>• GEF/World Bank: Review implementation of Phase I and prepare documentation for Phases II and III</li> <li>• Assist with implementation of sustainable financing strategy for the national programme</li> </ul>

# *Annex A* Areas of Operation for Nacso Partners



### Abbreviations:

<b>IRDNC</b>	Integrated Rural Development and Nature Conservation	<b>Nacobta</b>	Namibia Community-based Tourism Association
<b>LAC</b>	Legal Assistance Centre	<b>NDT</b>	Namibia Development Trust
<b>HU</b>	Health Unlimited	<b>NNDNF</b>	Nyae Nyae Development Foundation of Namibia
<b>MAWRD</b>	Ministry of Agriculture, Water and Rural Development	<b>NNF</b>	Namibia Nature Foundation
<b>MBEC</b>	Ministry of Basic Education and Culture	<b>RF</b>	Rössing Foundation
<b>MET</b>	Ministry of Environment and Tourism	<b>RISE</b>	Rural People's Institute for Social Empowerment
		<b>Sardep</b>	Sustainable Animal and Range Development Prog
		<b>UNAM</b>	University of Namibia

## *Annex B*

# **Recommendations for USAID**

### **1. LIFE and USAID Program Priorities**

From its inception the LIFE program has been targeted at a) economic development and the improvement of rural livelihoods in the Conservancy areas of rural Namibia, b) environmental management of wildlife and related natural resources and c) empowerment of Historically Disadvantaged Namibians through democratic participation in the creation and management of Conservancy organizations. This Review has recommended that in the next phase of the program priority be given to deepening the empowerment and participation dimensions of the program and securing and increasing the economic benefits that accrue to Conservancy members. These are USAID program priorities.

### **2. The Regional Importance of LIFE**

The Africa Bureau has supported CBNRM programs in a dozen countries. LIFE has been and continues to be a leader in innovative CBNRM programming in the Africa region. As documented by this Review, Namibia's National CBNRM Programme has reached a critical juncture and needs continued support. Experience gained and lessons learned in Namibia will benefit USAID programs across the continent and around the world. USAID/Namibia should solicit AFR/SD and RCSA support and offer to host a regional meeting to showcase the accomplishments of the LIFE program and share lessons learned with other USAID Missions and their partners including lessons from program phase out (e.g. CAMPFIRE in Zimbabwe and the CBNRM program in Botswana). The arrival of a new Director at the RCSA provides an opportunity to discuss a regional approach to CBNRM programming, including possible links to DFID's CBNRM support which is scheduled to become regional rather than bilateral over the next several years.

### **3. Life after LIFE-II**

The Review Team strongly recommends that USAID continue to support the CBNRM program in Namibia for the next ten years. As discussed in the Report, the CBNRM program is already having important impacts and has great potential to improve the lives and livelihoods of an important segment of Namibia's rural population. USAID has made a major investment in CBNRM already. Walking away at this point, just as the program is beginning to really take hold, just as the GRN is (finally) establishing a CBNRM Unit in the MET, just as the Namibian Association of CBNRM Support Organizations (NACSO) is becoming fully operational, just as the return on this major investment is starting to be realized, would be irresponsible. Rural communities of Historically Disadvantaged Namibians have had their hopes and expectations raised by the CBNRM programme. It is important for USAID to stay engaged.

#### **4. Transboundary Natural Resource Management**

A new RCSA-funded Transboundary Natural Resource Management (TBNRM) program is just getting underway in the 4-Corners area of Zambia, Zimbabwe, Namibia and Botswana. LIFE has a central role to play in this new regional program. LIFE has a robust set of partners that can provide essential technical assistance in the TBNRM activity. To a large extent, the 4-Corners Activity needs the collaboration of the LIFE program more than the reverse. That said, the 4-Corners activity can bring regional skills and resources to bear on issues affecting the LIFE Program, particularly those requiring international collaboration. Additional background on this program is found in annex I.

##### *Recommendations:*

- USAID needs to strengthen its official liaison with GRN on TBNRM. Though this is essentially the responsibility of the RCSA, it should not be ignored by the Namibia Mission
- The TBNRM program must support local initiatives and actors already in place. The 4-Corners Activity should make every effort to avoid the perception or the occurrence of competition with the national program.
- Close collaboration is necessary to prevent dilution or duplication of effort. An initial memorandum of understanding is being drafted. This understanding should be reviewed periodically and communication systems established in order to avoid duplication of effort

#### **5. From Management to Mentoring—Implications for Performance Monitoring and Reporting**

The Review has recommended that WWF move from the front seat in LIFE implementation to a back seat, from a management to a mentoring role. While the pressure on programs to produce “results” continues to be strong, Namibian ownership and management of the program must be the highest priority at this point in time. Given LIFE’s central role developing the National CBNRM Programme, National Programme accomplishments are a valid proxy for USAID results in CBNRM and should be used in R4 reporting.

#### **6. Inter-SO Coordination and Synergy**

USAID/Namibia has initiated some inter-SO coordination and synergy and is poised to more proactively pursue additional opportunities. Opportunities identified during the review include:

- **With SO1 (Private Sector Development)**
  - Continued funding of LIFE Joint Venture Specialist Roger Collinson
  - Using the new SME program to support CBNRM enterprises
- **With SO4(Democracy & Governance)**
  - Linking the new civil society development/advocacy program implemented by NID to NACSO institutions and CBNRM issues
  - Using new civil society IQC with MSI to support capacity building for CBNRM service providers and further development of Conservancy Associations.
  - Linking WIDTECH support grants on women’s property and inheritance rights with 3 NACSO members (LAC, NDT and UNAM) into LIFE’s analytical agenda

- Exploring opportunities to use Phase II NDI support to Parliament for work on CBNRM issues with relevant Committees and/or engage on relevant legislation (e.g. Communal Lands Bill)
- **With SO5 (HIV/AIDS)**
  - Moving from talking about linkages to reviewing options and developing a plan to make this happen. Specific suggestions on links between FHI, the Social Marketing Association (SMA) and the CBNRM programme are presented in the report and in annex F.

## 7. Program Implementation Mechanisms beyond 2002

### *Grants Management*

WWF/LIFE currently manages 10 grants (NACOBTA, RISE, Salabala, IRDNC, NNF/Capacity Building, MET CBNRM Support, Nyae Nyae, MET Training, NACSO and Rossing Foundation Crafts). Management of these grants needs to be transferred to NNF in a deliberate, phased manner that prevents unnecessary disruptions. At the same time USAID needs to develop a Cooperative Agreement with NNF so that funding for grants can be moved directly instead of passing through WWF. This process should begin immediately.

### *Technical Support and Mentoring*

The Review Team recommends that the WWF Cooperative Agreement be extended through April 2003 (for its full 10 year life) and that the WWF/LIFE Team be kept in place through this period. Whether the Team stays physically together in Kenya House or splits and moves into other NACSO organizations depends on whether USAID support will be phasing out in 2004 (as currently planned) or can be continued beyond this point. If the phase out is to be in 2004 (or earlier), the Review Team recommends that the WWF/LIFE Team be kept together to maximize their joint contribution to the national programme. While splitting the Team and incorporating them into Namibian institutions might be politically correct, it would be operationally cumbersome and, more importantly, would hamper the synergies which have been important in getting the NRM and business development pieces of the program off to a rapid start in recent months. If the program can be continued beyond 2004, the design of the follow-on activity should include technical assistance that starts off incorporated in NACSO partner organizations from the beginning..

In our view, **a change in working style is more important than physical location at this point.** We recommend that all WWF/LIFE job descriptions be revised and that mentoring of Namibian counterparts become the highest priority task for the remainder of the Cooperative Agreement, with clear performance measures that are tracked and reported on.

The Review Team recommends that the WWF/LIFE Team needs additional enterprise development expertise and that the National Programme needs additional social/institutional expertise, recruited locally if possible. The rationale for these additions is presented in annexes F and C respectively. The Team is acutely aware that adding staff while entering a phase out mode is counterintuitive, and all the more so with a declining budget. We believe that costs savings will be possible through implementation of the Team's recommendations on more streamlined planning, use a Training of Trainers approach and a bottom-up, demand driven provision of

support services to conservancies. Whether these savings will be sufficient to cover these additional positions is something that the LIFE Steering Committee will need to carefully consider.

## **8. Contracting Options beyond April 2003**

### ***Scenario #1***

USAID/Namibia closes in 2005, and there is little likelihood of a regional non-presence program thereafter. Options:

- As part of a Mission Phase Out Plan, get OP to agree to an extension of the 10-year limit on the original Cooperative Agreement for an additional two years to May 2005.
- If this is not possible, use the G/ENV Global Biodiversity Program Leaders with Associates program as a bridging mechanism.

### ***Scenario #2***

USAID/Namibia closes in 2005, and there is a reasonable likelihood of a regional non-presence program thereafter.

- Extend the current WWF Cooperative Agreement through April 2003.
- Design and contract a follow-on to LIFE-II including the handover of management responsibility from USAID/Namibia to the RCSA.

### ***Scenario #3***

USAID/Namibia stays open beyond 2005

- Same option described in #2 above without the regional/non-presence element.

We recommend that the position of CBNRM Policy Advisor, funded directly by USAID, be continued. Once the MET CBNRM Unit is staffed, the Policy Advisor should become a counterpart to the head of this Unit and his job description rewritten to reflect these new responsibilities.

## **9. CBNRM Coordination and Information Sharing**

NACSO hosted a very useful meeting for USAID and the Review Team with several donors involved in CBNRM programs. There is currently no system for regular meetings of this type. As part of protecting its investment and insuring a smooth phase out of assistance (whenever that will occur) we recommend that USAID actively support periodic meetings of this type as well as joint field trips.

## **10. GEF Biodiversity Conservation and Integrated Ecosystem Management through the Namibia National Conservancy Program**

This proposed GEF project will provide critical support to the National CBNRM Program. USAID needs to be proactively engaged in insuring that the project happens. If interventions are needed at higher levels in the GEF or World Bank, AFR/SD and PPC/ENV can and should be called upon for assistance.

## **11. A USAID/Namibia ENV Virtual Team**

A Virtual Team can provide much needed support on issues ranging from budget allocations to R4 reviews to technical backstopping. The Namibia ENV program already has a network of supporters both in Washington. We recommend that this Virtual Team be formalized and that it include members from RCSA, AFR/SD, AFR/SA, AFR/DP and the new Global Pillar Bureaus (ENV, DG, Economic Growth).



## *Annex C*

# **The Conservancies**

### **Introduction**

This section focuses on the programme placing conservancies centre stage. It follows a consistent theme, with the considerable progress made by the programme establishing an imperative to build on this success by climbing to higher levels. This will require significant changes in tactics and approaches.

Thus section 2.1 illustrates the growth in conservancies as a response to new policies, awareness training and empowerment opportunities, but this introduces the new challenge of strengthening conservancy institutions by democratising them to be accountable to their constituencies.

Section 2.2 illustrates the expansion of the wildlife resources in response to the considerable efforts over fifteen years. This makes possible the massive financial opportunities described in section 2.3, but also requires that steps are taken to achieve this potential.

Achieving these commercial opportunities will ensure the financial sustainability of conservancies. In anticipation of self-funding, autonomous conservancies, and as a response to the ballooning demand for services, it is recommended (section 2.4) that the programme reverse its delivery system, with more emphasis on financial planning, the purchasing of services, and the development of Conservancies as integrated community management units. This ‘looser’ approach paradoxically will require ‘tighter’ performance monitoring to keep in on track (conforming to the loose-tight nature of the devolutionary process<sup>9</sup>), and in this regard more business-like performance monitoring systems are necessary (section 2.4.3). Finally, we re-emphasize the importance of institutional sustainability. There is an over-riding recommendation that the empowerment of Conservancies with rights, knowledge, training and benefits, must be accompanied by a sound process of democratisation that ensures transparency and accountability to common rural people. If not, the programme faces ultimate collapse through the disenfranchisement of people from their wildlife—what Murphree has christened “aborted devolution”.

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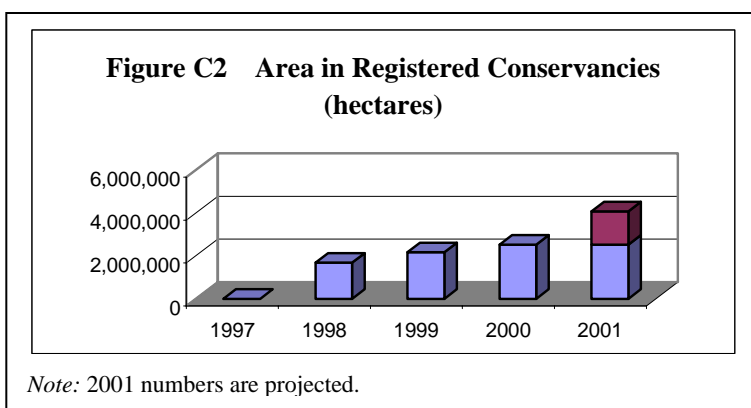
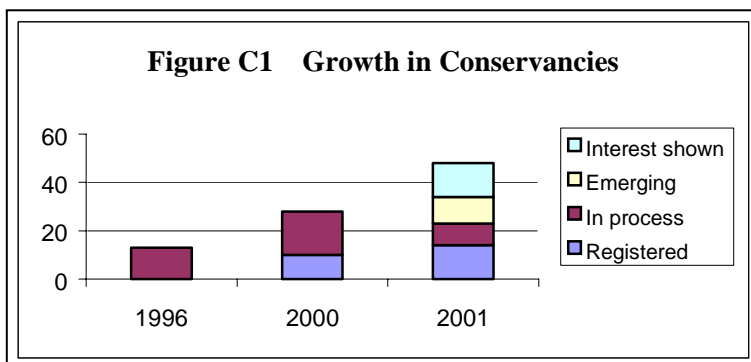
<sup>9</sup> See Peters and Waterman, *In Search of Excellence*.

## 1. Institutional Foundations for CBRNM Achievements

### 1.1 Growth of Conservancies

Much effort has been invested in creating awareness, and in taking communities through the process of conservancy formation. This has led to considerable demand for services from the supporting organisation, with demand outstripping supply.

- Communities responded rapidly to the 1996 amendment to the Wildlife Ordinance. By 2001, 14 registered as conservancies; 9 were well underway; work has been initiated on 11 applications; and 14 areas have shown interest—total: 48 (figure C1).
- The many communities learning about and interested in joining the programme are indicative of valued added.
- Some 31,940 people live in registered conservancies.
- Constitutions are in place in 16 conservancies, constitutions are recently developed or in preparation in 18 conservancies; and the process is yet to start in 14.
- Registered conservancies cover 3,929,000 hectares (figure C2).
- Grants have been made to 32 conservancies, totalling some N\$3,690,404 annually.
- Most established conservancies have and manage game guards or resource monitors and other staff.
- Conservancies are providing a mechanism to voice and co-ordinate issues of common interest. They are also allowing communities to begin to address their concerns with authorities, with relationships developing with governors, regional and local government and councillors, and Regional Development Coordinating Committees.
- The growth in the number and scope of Conservancies has outstripped the monitoring processes put in place by the LIFE programme. Conservancy Management profiles are available for Conservancies directly funded and supported by LIFE for 2000.



**Box C1**  
**The Efforts Required To Develop a Conservancy: Kwandu**

It is easy to underestimate the effort required to establish 14 conservancies and to support the emergence of nearly 30 more conservancies over the past 5 years. The case of Kwandu Conservancy in the Caprivi region is perhaps illustrative of the lengthy, complicated and time-consuming process that has been most often followed; it could not have been done without the consistent support of dedicated and competent field staff with support organizations like IRDNC, NNDFN, RISE, NDT, Rossing Foundation and others and the WWF/LIFE team.

- 1996—Interested community members reviewed the information in the conservancy Tool Box with Ministry staff, and began to increase their awareness of the conservancy program
- 1997—The community proceeded to define the membership of the conservancy, and over the next few years, signed up more than 1600 adults
- 1998—Conservancy members elected a Management Committee at their Annual General Meeting and completed the process of preparing their constitution, laying out an agreed upon resource management strategy, principles for benefit distribution.
- 1999—After more than two years of discussion and negotiation, the members reached agreement with neighboring communities on the boundaries of the conservancy; with the assistance of the MIU, a map and boundary description was prepared
- June 1999—In consultation with MET, the conservancy application is formally submitted and forwarded to the Ministry for consideration
- December 1999—After an internal review by MET to ensure compliance with the provisions of the conservancy legislation, the Minister approves the application and the conservancy is officially gazetted
- 2000—Conservancy Game Guards and Community Resource Monitors are employed to monitor resource use, and to educate the members about sustainable use of natural resources; building on the information gained during study tours to Zambia and Botswana as well as other capacity building and training workshops, the Conservancy discuss and begin to make plans to control fire, manage fisheries resources, initiate a craft enterprise, develop a campsite and tourism joint venture, control timber poaching and manage a community forest within their Conservancy.
- July 2001—The conservancy hosts an Integrated Planning Workshop, to review their Vision and Strategy, outline a Development Plan and to take stock of the information available and needed to proceed with the preparation of more detailed Management and Implementation Plans. The Zonation Plan will serve to orient crop cultivation and grazing in areas not targeted for wildlife and tourism uses; revenue from the Game Products Trust Fund will be used to develop water sources.

**Table C1 Status of Progress with Selected Activities**

<i><b>Selected Activities</b></i>	<i><b>Number</b></i>
Emerging conservancies—not yet registered	34
Conservancies with active natural resource monitoring	28
Conservancies with bank accounts	17
Conservancies with constitution in use	16
Registered and established conservancies	14
Support for crafts	14
Office established for staff and meetings	11
Campsites developed	10
Conservancies with regular, well attended annual general meetings	10
Conservancies with democratic sub-units	8
Conservancies with more than \$100,000 in annual income	5
Safari hunting organized	5
Development plan and/or NRM plans under preparation	5
Game hunting (own use) and meat distribution underway	4
Local employment from Guiding for Tourism	4
Exclusive High Cost Joint Ventures negotiated	4
Conservancies with Benefit Distribution Plan in use	3
Natural resource management plans prepared	3
Conservancies that regularly forward NR monitoring data to relevant government agencies	1
Natural resource management plans that have been formally reviewed, approved and recognized by relevant government agencies	1
Financial self-sufficient (income covers recurrent cost expenditures)	1
Conservancies with functional performance monitoring and reporting system	0
Adaptive resource management system based on a completed management plan in place and operational	0
Integrated development plans prepared, adopted and implemented in collaboration with relevant government services	0
Access to/use of commercial credit	0

As table C1 makes clear, the majority of the focus has been on conservancy formation. The initial emphasis on socio-economic information gave way to increased emphasis on natural resource monitoring<sup>10</sup> and, very recently, to commercial development<sup>11</sup>. However, as energy has shifted, early priority areas have been neglected, with institutional functioning (see below) being a particular gap. The increasing complexity of the programme implies a need for a carefully designed performance-compliance monitoring system, both to track progress and to maintain its balance.

<sup>10</sup> Driven by Dr. Greg Stuart-Hill (LIFE) and the virtual team (partly LIFE-supported) he coordinates.

<sup>11</sup> Supported in LIFE by Rodger Collinson, Andee Davison and Usiel, in collaboration with NACOBTA and using consultants (e.g. Peter Ward).

## 1.2 Building on Success: Instituting Participatory Democratisation

This growth presents a major logistical and intellectual challenge for the programme. The programme has made an excellent start in developing the basic institutions on which to build a programme (i.e. the Conservancy Committees). It has also created the demand and momentum for conservancy formation. The programme is now in the challenging position of servicing more conservancies while simultaneously needing to increase the institutional sophistication of the model.

It is critical, as will be explained below, to address the opportunity of making these committees accountable to their constituent communities. Careful design of conservancy institutions in the light of mistakes made elsewhere in the region, will allow Namibia to pre-empt the aborted devolution that has usually followed the scaling down of external support and oversight (i.e. top-down over-sight). Indeed, unless institutions are strengthened, and especially deepened and democratised, the programme is unlikely to be institutionally sustainable.

In our short trip, we have already seen the warning signs of re-centralisation and empowerment albeit at the conservancy level. The root cause of this is what we might term “floating committees”, that is committees that are only weakly linked and accountable to their constituency. It is naïve (and ultimately dangerous) to build institutions on the assumption that communities are any more egalitarian than the rest of humanity. Failure to make committees powerfully accountable to their constituencies puts them at great risk that they will be captured by elite groups.

- Committees are ‘elected’ in ways that may not be very democratic, and most (when interviewed) were unable to say when they expected to

### Box C2 Support Provided to Conservancies

Conservancy committees receive outside support from the time their community indicates an interest in forming a conservancy. They receive assistance in:

- forming a committee,
- developing a constitution,
- registering members, and
- identifying and mapping boundaries.

Once gazetted, they often receive:

- A grant and/or financial assistance from the program to cover operating costs including personnel (i.e., community game guards, community resource monitors/activators, and a manager),
- Equipment (i.e., fencing, uniforms, weapons?), even vehicles
- Some transport and meeting costs.
- Their appointed treasurer receives training in financial management.

Conservancy committees receive training in

- the “roles and responsibilities” of each committee member,
- sometimes in conflict management when boundary disputes and other problems arise.

Despite this grounding, committees universally requested further training and expressed a continuing need for outside capacity building assistance. If training is directed at only 1–2 persons for each specific topic (e.g. financial management), it is possible that the capacity being built is very shallow.

stand for re-election. Before further empowering committees with information, training and financial support, and especially before self-earned benefits begin to flow, it is essential for the sustainability of the programme that these institutional problems are rectified. It is expensive to empower and train small groups, and the shallowness of such interventions is also risky (box C2).

- Conservancy committees have not addressed benefit distribution adequately and are not receiving support from outside to address it. Money is consequently accumulating in bank accounts. Some communities expressed frustration regarding the challenges of full community dialogue to decide this matter (Torra). Others unilaterally allocated money to village groupings (Salambala), although this amounted to only 20% of income and was not really a community decision. Apart from the challenges this places on Conservancies, there are several indications that senior officials and politicians are highly critical of the programme on this point. This poses the dangers of reversal.
- While the team was not in a position to look at Conservancy accounts in any detail, there was at least one example where the Conservancy was not integrating receipts from enterprise development and hunting into the general financial management structure established for grants management (Mayuni). Thus there is substantial potential for financial mismanagement with these funds, especially given the point above on inadequate community representation on committees. While this is unlikely to occur in the early stages of the programme when over-sight is effective, it can rapidly become a serious problem, especially when Committees become more familiar with the system and its weaknesses.

*The team therefore recommends that significant efforts are made throughout the programme to develop ‘village’ organisations as the basic building blocks of conservancies.* This suggestion was strongly endorsed at the workshop to discuss the team’s findings. The development of Village-based institutions as the building block of participatory democracy can overcome many of the challenges we have just listed.

### **1.3 By Way of Explanation: Alternative Local Governance Structures**

Before analysing the way forward it is useful to define two alternative systems of democracy applicable to rural communities. Representational democracy and participatory democracy represent fundamentally different systems—top-down versus bottom-up—and are also useful shorthand in justifying our recommendations for a more sophisticated institutional model.

There is evidence that participatory democracy is a significantly more efficient and effective form of governance.

- It is better able to use money for project or activities, and is several magnitudes more accountable because of in-built checks-and-balances.
- It is a form of governance conducive to empowerment and democratisation.
- The high level of participation and proprietorship by all members of the community make it a powerful tool for changing attitudes towards wildlife and towards governance in generally.
- In particular it creates awareness that people are **citizens** with rights, rather than **subjects** operating under the instructions of those at higher levels.

### Box C3 Comparing Representative and Participatory Democratic Institutions

#### *Representative democracy*

- Each sub-set of the community elects an individual to represent them on the committee that governs their affairs.
- Decisions are made by these representatives (not the people), and are passed back to the community.
- Communication between committee and community is seldom effective.

While representational democracy may be effective where communities conform to rules and rely on written communications, it appears to be ineffectual in Africa where oral communication is the primary mode for information, where laws have limited legitimacy in formerly oppressed communities, and especially where people's rights to democratic justice are still weakly entrenched.

#### **Participatory democracy**

Recognizes that people can communicate face-to-face to establish social checks-and-balances where the size of the group does not much exceed 150 adults.

- Breaking larger communities into sub-units at this scale
- All decisions are made collectively in general meetings of the community.

The fundamental power structure is altered in favour of the constituency.

- Unlike representation democracies, the people make decisions collectively and instruct the committee to execute these (it should only have the power to make operational decisions to implement its instructions, and should be disallowed from making allocatory or strategic decisions).

This structure fundamentally reverses power relations. It is especially suited to promoting grassroots participation, buy-in, transparency and democracy.

Operationalising regular reporting on its performance and finances to its constituency is easy, essential, and should be a conditionality.

In short, it can create cultural change, and any meaningful transformation of governance can only be sustained when people expect something different as a matter of course. This last point reflects the argument that changes are only really solidified when people's mind-maps and expectations are altered.

Data from a similar programme, designed to combat some of the weakness demonstrated by proto-CBRNM programmes (CAMPFIRE, ADMADE) provides quantitative evidence that participatory governance is several orders of magnitude more effective in most aspects of community development including financial accountability, implementation of projects, transparency, proprietorship, empowerment, capacity-creation, equity, and community participation and attitudinal buy-in/shift (**the key to commitment is involvement**).

#### **1.3.1 Bottom-up institutions and empowerment**

The Second Generation CBNRM model is powerful institutionally. By empowering village groups to take responsibility at the scale where social forces operate well, the community becomes far more internally responsible for dealing with complex issues such as gender, ethnic representation, internal politics and the like. This unburdens the external facilitator from direct

responsibility, and the facilitator can assume the healthier role of providing information and ideas regarding these issues.

If the high levels of participation are complemented by information and ideas, these structures can be sensitive to gender, ethnicity, etc. When they are well informed, they are also able to challenge long-entrenched hegemonies. For this reason, it is particularly important that such systems are complemented by sound information, especially financial, and on an insistence on regular and effective information flows. They appear well able to re-act to the feedback of socio-economic and other information to improve decision-making.

**Table C2 Illustration of the Power of Participatory Democracy**

Indicators	Representative democracy (linked to traditional leadership)	Participatory democracy
Misappropriation of community funds	40%	0.8%
Projects constructed in a similar period	10	350+ (schools, clinics, wells, micro-businesses, etc.)
Involvement of people	Less than 5%	At least 20,000 people attend meetings and are fully aware of their rights, programme objectives, wildlife values, etc.
Attitude shift towards conservation	80% opposed to wildlife	90% favour wildlife
Culture of governance	Accept 'feudal' conditions, and act as subjects	Strong pressure towards democracy, and awareness of their rights as citizens.
Source: B. Dalal-Clayton and B. Child, 2001, Lessons from Luangwa, IIED; unpublished data from Child.		

### ***1.3.2 Bottom-up institutions: converting wildlife from a public to a private (community) asset***

A second tenet of CBNRM, which is incorporated into the LIFE programme development hypothesis<sup>12</sup>, is related to the evaluation of wildlife by communities. CBNRM evolved from the understanding that people value privately owned assets over public assets, and modified legislation accordingly to transfer wildlife from public to private (or private-community) control. As the figure illustrates, however, the LIFE programme has not yet taken full advantage of the spirit of the legislation to achieve this. Wildlife remains a public asset, though at the level of the conservancy, and will be devalued for this reason. As figure 3 (a) Perception of Benefit illustrates, if full advantage of the legislation is taken to ensure that wildlife benefits flow upwards through the hands of villagers it not only becomes valued as a private asset but the process of managing this private asset in a community forum has large benefits in terms of empowerment, democratisation and community organisation and capacity-building. This will

<sup>12</sup> World Wildlife Fund "Proposal for Phase II of the Living in a Finite Environment (LIFE) Programme August 1, 1999–October 21, 2002", p. 3 states, "...that communities will manage natural resources when they can see value in doing so. Common resources which are not contributing to community welfare will be seen, at best, irrelevant and, at worst, something to eliminate."



have impacts on attitudes towards wildlife, as shown in (b) which illustrates the magnitude of this shift as measured in the LIRD P programme.

The shift in governance is illustrated by figure. In the first generation model (left hand side) we not that revenues flow downward and that people are consequently subjected to decision made on their behalf. Since decisions about wildlife benefits are made by Committees rather than the people themselves, inefficient choices are made. In effect, wildlife remains a public asset. Consequently, wildlife is under-valued by people, and the likelihood of positive attitudes developing are lower than they could be.

Turning the system upside down, as with Second Generation CBNRM programmes, has dramatic consequences. People are empowered to control the decision-making process, the essence of democratic citizenship. By allowing people the full choice over the choice of what to do with wildlife revenues, wildlife is effectively converted from a public to a private (albeit at the community level) asset. Not only are economic choices optimised from the perspective of the community, but in organising the community to make these choices there are large potential gains in the form of improved organisational and governance systems, participation and learning. As the figure shows, the same benefits from wildlife under a top-down system are considerably magnified in the eyes of the community through a bottom-up system. The impact on attitudes is an order of magnitude more powerful.

This shift in the valuation of wildlife by communities lies at the heart of the Namibian CBNRM programme.

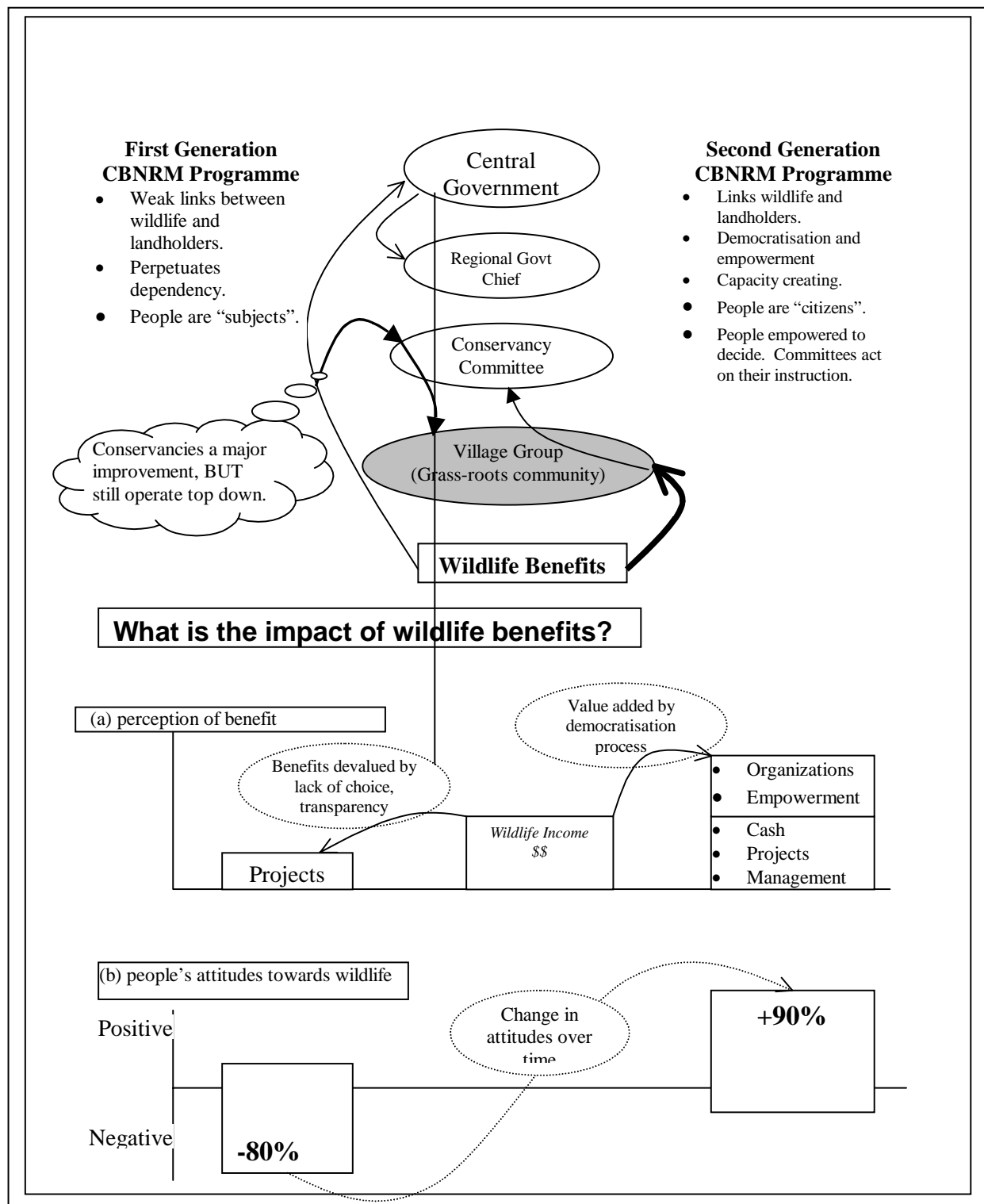
### ***1.3.3 Service delivery***

Intuitively, the scale of delivery to a large number of Community Action Groups rather than far fewer Conservancies appears onerous. This appears not to be the case in practice. For instance in the table comparing the use and cost of support staff in Luangwa and Caprivi presented below, it is interesting to note that the Luangwa system supports 43 Village Action Groups in six Conservancy equivalents. The benefits of the participatory democracy appear to extend counter-intuitively to service delivery. Interestingly, Khoadi Hoas, which is regularly quoted as a leading example, is the single example of which we are aware that is based on participatory democracy, in this case through its eight farmers sub-associations.

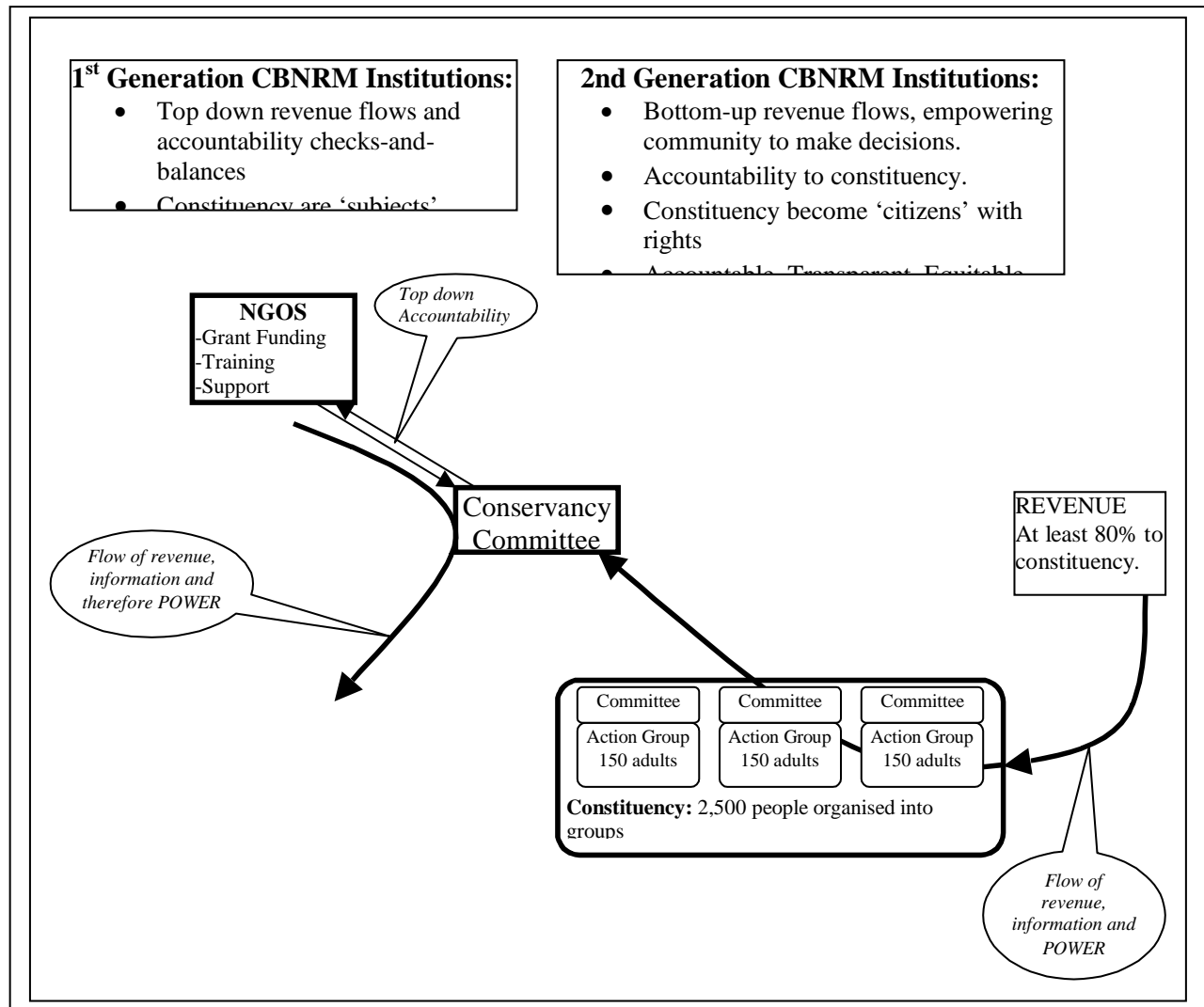
### ***1.3.4 The status of governance in conservancies***

Most of Namibia's conservancies are representational democracies. Conservancies are comprised of elected (and sometimes appointed) individuals who collectively represent some 2,500 people. The dependence on grant funding means they are accountable upwards. They are also highly responsive to external support and training, with the consequence that committee members are considerably empowered. This is illustrated in the left side of the following figure, which emphasizes the top-down character of the present conservancies and support systems. It is highly recommended that a wide range of measures be taken to replace top-down accountability with bottom up accountability (as illustrated in the right half of the figure).

**Figure C3 An Illustration of the Advantages of Bottom-Up Institutions Based on a Scale of 150 Adults Able To Meet Regularly in a Participatory Forum**



**Figure C4 Recommending a Shift in the Namibian CBNRM Programme to a Bottom-Up**



### 1.3.5 Second Generation Institutional Model

Upward accountability (especially to the NGOs that service and fund them), is neither conducive to institutional sustainability nor to wider participation of the community. There is already evidence that Committees are only weakly accountable to their constituencies. In most Conservancies visited committee members expressed difficulties in communicating with their constituents. None were aware of election dates. This poses a serious threat to the sustainability of the programme.

Both CAMPFIRE and ADMADE started with great promise, but failed to build constituent accountability at an appropriate scale. Predictably, devolution was partially or entirely aborted once the intensity of interactions with supporting agencies declined, and once the mechanisms of top-down accountability were phased out. The over reliance on top-down checking mechanisms

proved unsustainable. The institutional bottom-up checks and balances to ensure the continuity of participatory democracy were not internalised.

One can predict with some confidence that the present institutional structures will entrench the power of committees, at the expense of accountability to the greater community.

## **1.4 Recommendations**

Namibia, fortunately, has the opportunity of these lessons to develop more robustly democratic institutions that entrench grassroots participation and transparency. The space allocated to the justification for these recommendations recognizes that their effects on the performance and sustainability of Namibia's CBNRM programme are likely to be profound. There was strong recognition of this potential amongst local implementers, especially at the field level.

1. It is strongly recommended that the LIFE programme reorganizes its conservancy institutional structures to develop a sound framework upon which to hang all other aspects of the programme.
2. It is also strongly recommended that democratisation and governance, imprecisely defined in project outputs and indicators, be given greater prominence in the programme and be defined clearly in key indicators.
3. Revenue sharing should be implemented as soon as possible, and in a bottom-up manner.
4. Consideration should be given to implementing grant management on a similar, bottom-up basis, and at the minimum making the whole community, rather than only the Conservancy Committee, aware of commitments and targets.

### **Box C4 Institutional Framework**

The basic building blocks of conservancies should be "villages" of approximately 150 adult members.

- Each village group should be constituted to empower the people/constituency to instruct and hold accountable a Village Committee (with a requirement for quarterly general meetings, accurate disclosure of finances and other activities, and regular elections).
- At least 80% (preferably 90%) of revenues should be allocated directly to villages, with full choice and responsibility in allocating these revenues.
- All decisions and reporting should be at general meetings.
- The Conservancy Committee should therefore be comprised of elected Village Committee officers (e.g. Chairperson, Secretary, Treasurer), and have as its primary responsibility coordination.
- Following the principle of subsidiarity, higher levels should only assume implementing functions that cannot be done at lower levels.
- The village should also be the primary action level of the conservancy institution.

### Box C5 Performance Monitoring Framework

Framework for Performance-Conformance Monitoring at the National Level				
Key Performance Area	Indicators			
	1	2	3	4 (Maximum)
1. Institutional function				
2. Financial accountability				
3. NRM				
4. etc.				
5. etc.				

If there are too many controls, you lose control.

5. All support should reinforce these recommendations. Specific actions include:
  - Linking conservancy grant agreements to a requirement for institutional structures that incorporate participatory democracy through constituted village structures at sub-conservancy levels.
  - Monitoring the regularity, participation and content (especially financial reporting) of community general meetings in the national CBNRM performance monitoring system.
  - Designing revenue sharing systems to ensure bottom-up flows of revenue (at least 80% and preferably 90% of revenues), with decisions on revenue allocation made at general meetings at village levels (membership scale of 150 people).
6. In recognition of the loose-tight character of the devolutionary process, the devolution of authority and benefit to lower levels must be accompanied by increased accountability for performance and conformance with the democratic principles embedded in this process. Carefully designed peer review of performance indicators should be instituted at four levels (village, conservancy, regional quarterly meetings, national), using visualization techniques wherever possible (following the example of the event book innovation).
  - Example indicators:
    1. The proportion of community income allocated at general village meetings.
    2. Comparison of approved budget (by community at AGM) and actual expenditure (variance analysis).
    3. Attendance (male, female) at AGM and quarterly general meetings.
    4. Quarterly approval of financial accounts by village general meeting (community decision should be supported by an external audit).
    5. Report on elections at AGM

To support the recommendation for devolution to the participatory level of governance, and that for improved conformance-performance monitoring, some suggestions are provided for the Key Performance areas and indicators that are useful in monitoring progress in achieving both recommendations.

The over-elaborate tracking system developed by LIFE (e.g. Conservancy Profiles) is largely a response to USAID requirements, and has already proved unsustainable in the face of programme growth. **It is recommended that a simpler, more comprehensive performance-conformance monitoring system be developed and incorporated into the USAID reporting requirements in place of the previous system.**

### ***Parallel Institutions***

The sectoral nature of line Ministries and donors is giving rise to parallel institutions at the local level, for instance different institutions for forestry, wildlife, water-points, etc. This was strongly evident in Salambala. The empowerment of grassroots institutions can go part way to addressing this, especially if the LIFE partners are pro-active in encouraging other institutions to use the same community structures. In support of this, it would be strategic for the programme to provide resources to support the emerging Regional Development Coordinating Committees. With a relatively small input, working with the formative RDCCs is probably the cheapest, most effective way of contributing to the coordination of sectoral inputs and local development. This could also reap dividends through Regional Governor's and elected Councillors. The example of Khoadi Hoas in providing a coordinating forum for technical agencies (FIRM) appears to offer advantages, but should be analysed as to costs and effectiveness.

**It is recommended that LIFE define a strategy and provide resources for strategically supporting Regional Development Coordination Committees in key areas.**

<b>Table C3 Performance and Conformance of Decentralized, Accountable Institutions</b>		
<b>Indicator</b>	<b>Means of Verification</b>	<b>What does data look like?</b>
<b><i>KPA1: Democracy, accountability and transparency</i></b>		
1.1 Dates of general meetings • Attendance: males / females	Minutes	(minimum performance is quarterly)
1.2 Election report from AGM	Local Facilitator	Half page report
1.3 Previous year's financial report • Was it presented properly to community (with audit report)? • Did the community approve it?	✓ Submitted by Conservancy ✓ Y/N Facilitator ✓ Y/N AGM minutes	One page financial report
1.4 Budget as agreed at AGM (indicates spending priorities, and is a key measure of community progress and mindset).	AGM minutes	Half page summary
<b><i>KPA 2: Financial control and accountability</i></b>		
2.1 Financial statement	Attach to AGM minutes; also half-yearly	Standardised report (manual needed to describe this)
2.2 Audit report (by local facilitator)	Prepared by facilitator, checked by local auditor	Standardised report (manual needed to describe this)
<b><i>KPA 3: Natural Resource Management</i></b>		
<b><i>KPA 4: Joint Venture / Hunting</i></b>		
<b><i>Etc.</i></b>		

## 2. Wildlife Recovery and Natural Resource Management

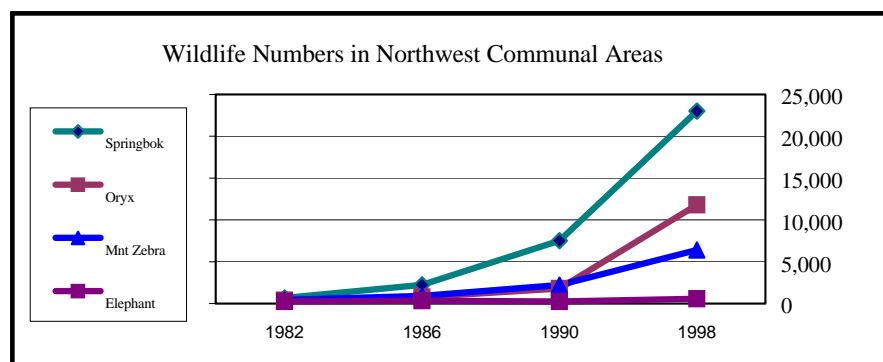
### 2.1 Trends in Wildlife Populations

An important impact of the Conservancy programme, and the Community Game Guard Programme that preceded it, is the protection and increase of wildlife populations. Nowhere is this more evident than in the Kunene area, where the forerunner of the present programme was initiated by Garth Owen-Smith. Owen-Smith's intervention was a response to the decimation of wildlife by the South African Defence Force, and recognised the contribution local people could make in protecting it. By the early 1980s, there were thought to be only 50 elephants, 15 rhinos and some 100 zebra surviving in the area. A serious drought followed this poaching, reducing livestock from 160,000 to 15,000.

While Gibson's data suggests that wildlife populations were already so low that the drought had little discernable impact, a series of good rainfall years' also contributed to expanding wildlife populations.<sup>13</sup> Gibson also shows a large range expansion for wildlife, particularly northwards which corresponds with the CBNRM programme area.

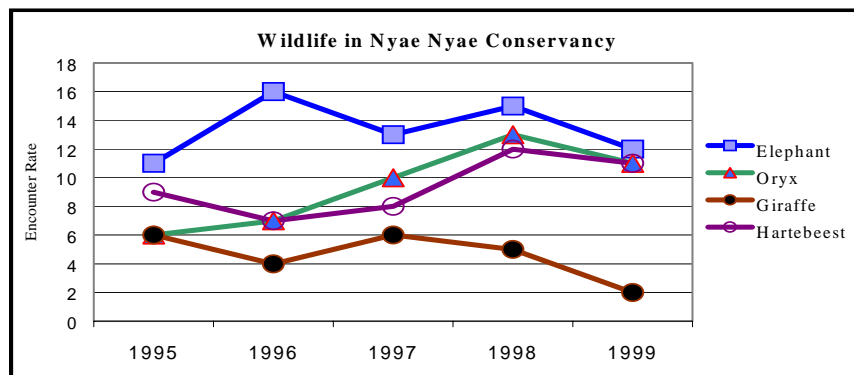
The data for Nyae Nyae reflects similar trends (the loss of giraffe is an external factor related to deaths in veterinary fences). The incidents of illegal hunting in Caprivi has also fallen according to MET statistics<sup>14</sup>

**Figure C5 Increase in Wildlife Populations in Northwestern Namibia**



Source: LIFE reports

**Figure C6 Increasing Wildlife Numbers in Nyae Nyae**

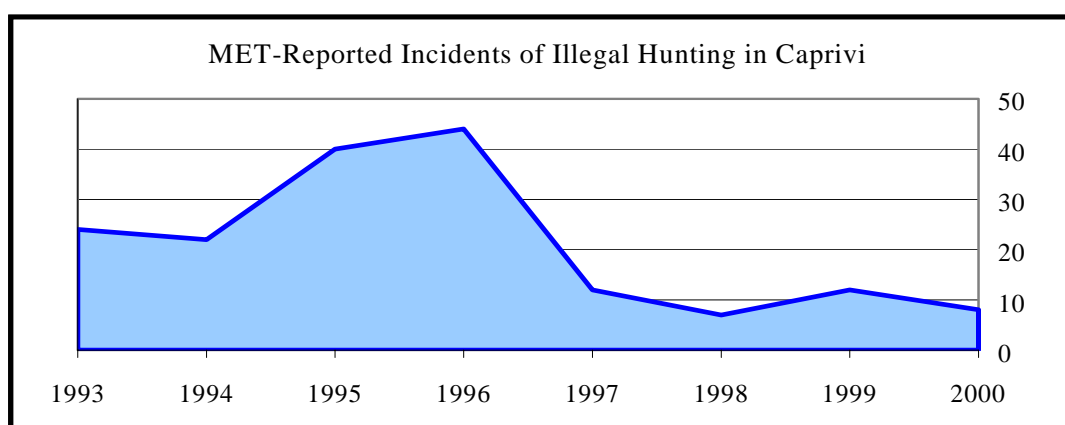


Information from Community Rangers in Nyae Nyae indicates that populations of most plains game species (e.g. Oryx and Hartebeest) are recovering. Giraffe, however, have declined, attributed to mortalities along an newly erected veterinary control fence.

<sup>13</sup> D. St.C. Gibson 2001 (ed.), *Wildlife monitoring in North-Western Namibia*.

<sup>14</sup> Care is always needed in interpreting poaching data as the number of reported incidence is dependent upon the search effort. Therefore, catch-effort ratios should be used to measure the level of poaching.

**Figure C7 MET-Reported Incidents of Illegal Hunting in Caprivi**



In the past, wildlife in the Caprivi had been subjected to extreme poaching pressure, which resulted in steep population declines. Through CBNRM, poaching has now declined to around 10 reported incidents a year.

## 2.2 Evaluating These Trends in Monetary Potential

If we calculate how much direct income communities could earn if they used the increasing wildlife populations, the investment in the CBNRM programme is easily justified. The estimated value of the consumptive value of wildlife alone, used to near full capacity, is some N\$16 million, or US\$2 million annually. This is close to the annual USAID investment in the programme.

**Table C4 Increasing Wildlife Populations in Kunene**

	Number of Animals <sup>15</sup>	Biomass	Value <sup>16</sup>
1980	2,701	574,785	523,992
1990	31,734	2,853,616	4,698,932
2000	124,385	13,547,147	16,465,252
Potential	242,827	26,446,986	32,205,239

The improvement in wildlife populations, especially charismatic species such as desert elephants and rhinos, and the general spectacle of the scattering of wildlife across the major Kunene tourism zone, has important commercial consequences. Community wildlife and natural resource management has laid the foundations for a major tourism

industry. The development of management systems, including the most impressive annual vehicle counts of wildlife conducted in the North West, and Event Book monitoring systems will be important in providing the data to better manage and maintain these valuable wildlife populations. It will also be important for justifying the intensification of commercial use, for which there is considerable potential. Indeed, given the stochastic nature of these arid

<sup>15</sup> The number of animals is extrapolated backwards from the 2000 road count estimates using the proportional growth rates from Gibson (2001). These are estimated for springbok, oryx, giraffe and zebra by averaging Gibson's data for Kaokoland and Damaraland (figures 23–30). Where species specific data is not available, a correction factor that uses the weighted average change in the four mentioned species was used.

<sup>16</sup> Values were calculated assuming all trophies were hunted, that the meat from trophies was sold, and that half the potential cropping offtake was used.

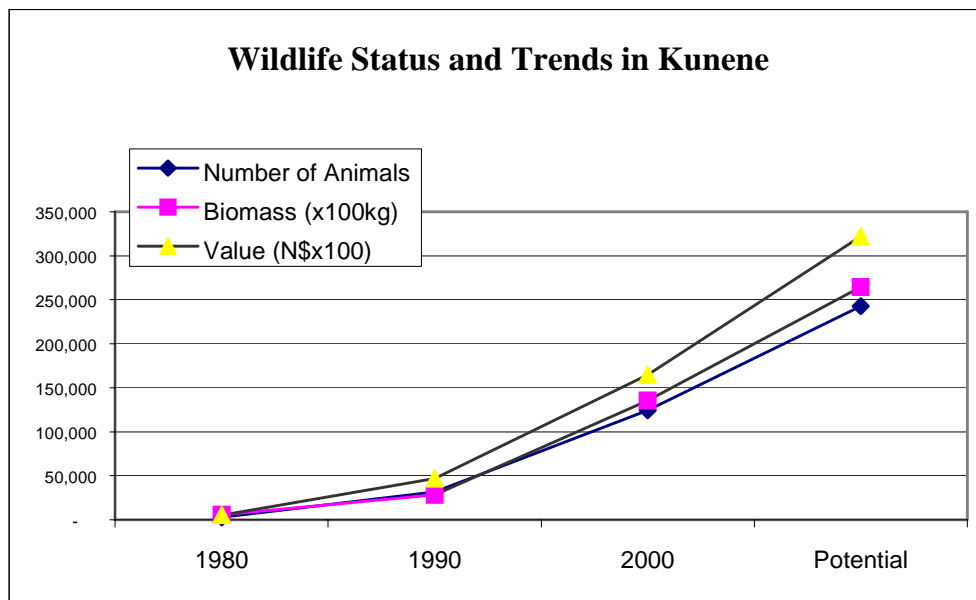


environments, powerfully illustrated by the severe drought in the early 1980s, it is wise not to let populations get too big.

## 2.3 Implementation of Management Systems

There has been considerable progress in the monitoring of wildlife and natural resources (the “Event Book” introduced by Dr. Stewart-Hill), surveys and counts with a comprehensive vehicle census of all wildlife populations in the North West, mapping and satellite imagery, and planning. This is discussed in annex G. But there is some concern that the tail (NRM) is wagging the dog (the need for conservancies with a sustainable institutional and financial base), and that the planning process needs to be re-visited and broadened with financial sustainability as a primary goal.

**Figure C8 The Increasing Numbers and Value of Wildlife in Northwestern Namibia**



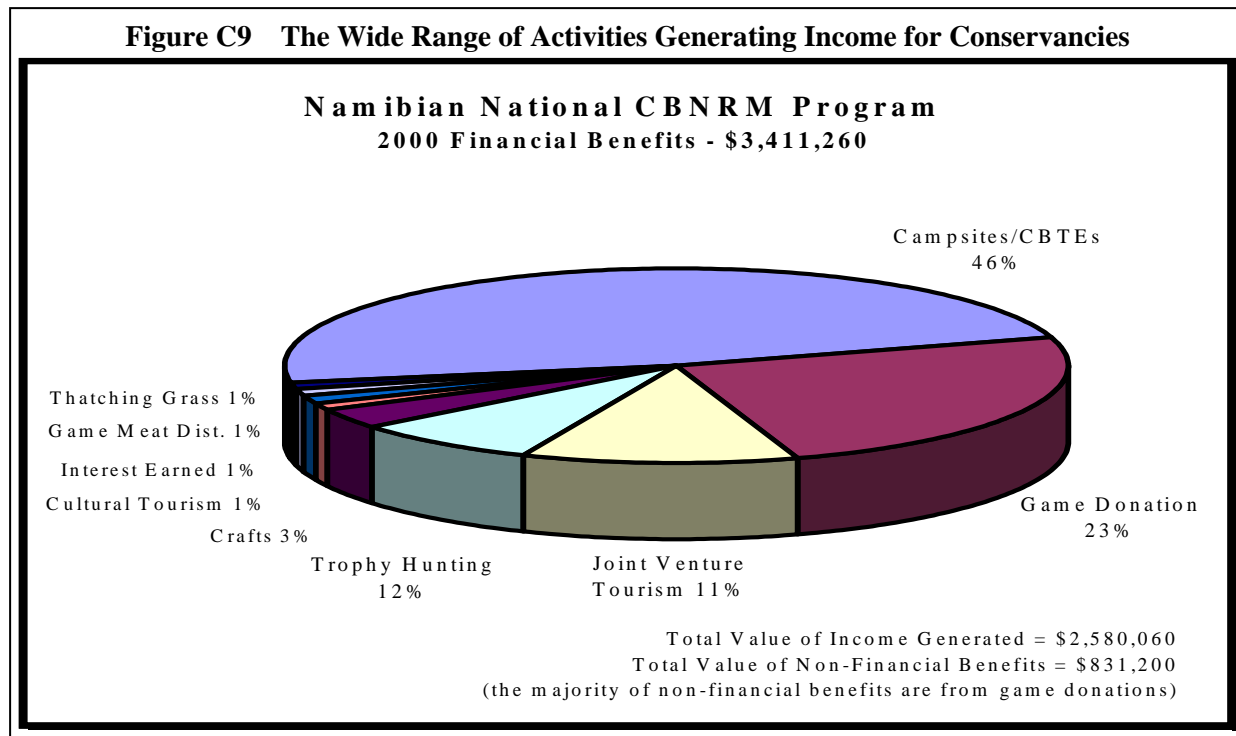
### 3. Commercial Opportunities and Conservancy Sustainability

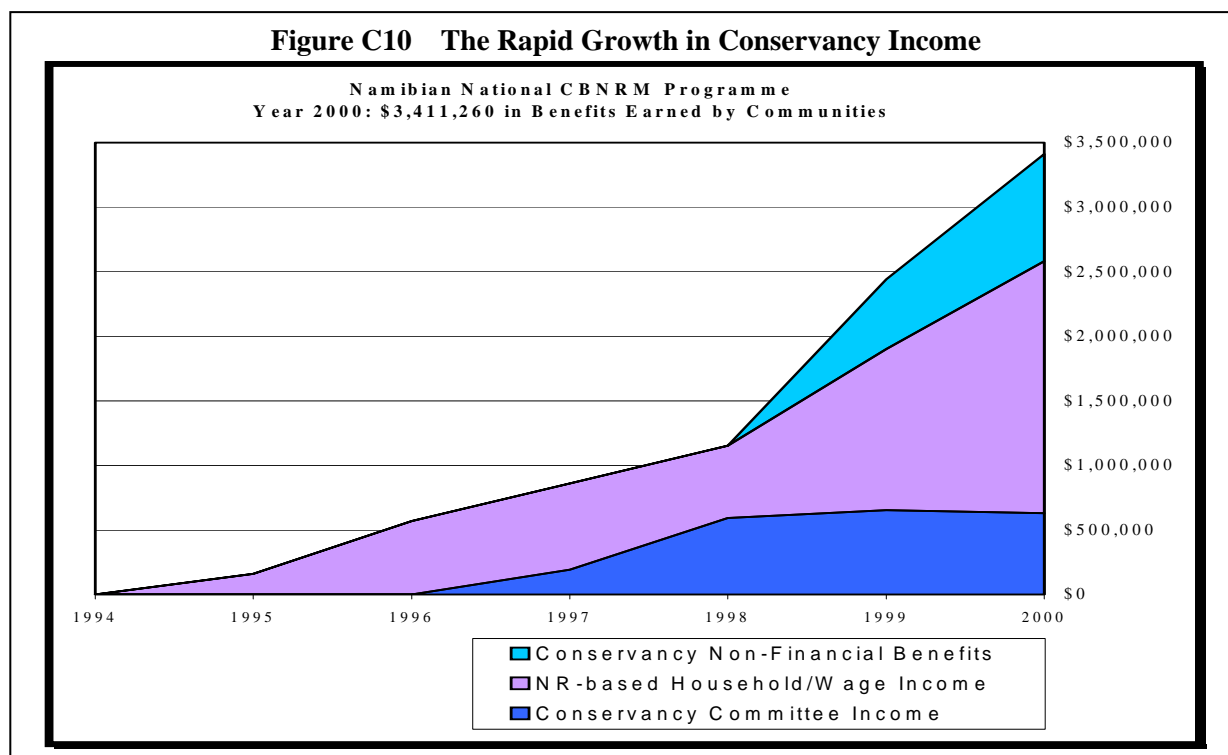
#### 3.1 Progress in Commercial Development

Until legislative changes in 1996 the programme was not able to take advantage of the highest valued resources (tourism and safari hunting) and invested in developing small enterprise as community level, with community camp sites and crafts being prominent. This has the advantage that the financial basis of the programme is diverse relative to similar programmes in the region (96% of CAMPFIRE's income is still from safari hunting). This diversity, together with the presence of grant funding, has allowed the programme to survive the Caprivi conflict. While tourism halted almost completely, income and work was still provided by hunting and crafts.

The new legislation (1996) allowing the negotiation of hunting and tourism joint ventures, has allowed the programme to begin to work through old attitudes to empower communities to develop business relationships. This has resulted in a rapid increase in the revenues generated, although by 2000 only four hunting concessions and a single high value tourism partnership (Torra) was in place.

That this growth represents only the very beginning of the potential income growth curve is recognized by the LIFE programme (figure C9). The recruitment of a tourism planner and negotiator is already providing a boost to the programme, but the fact that it took almost two years to recruit a suitable person is indicative of the dearth of these skills in the region. Technical assistance initially recruited to support community-based tourism initiatives and the monitoring programme have had to fill this gap.





LIFE has estimated the potential income from the programme over the next five years. This data suggests that the major growth areas are in trophy hunting, joint venture tourism and community-based tourism enterprises. The estimated income by 2005 is approximately N\$10 million annually, nowhere near sufficient to transform the programme to self-sufficiency. As we will show below, the potential is far larger than this, but requires targeted input in the form of tourism planning and negotiating skills to achieve it.

### 3.2 Conservancy Sustainability

When analysing the National CBNRM and LIFE programmes, it is necessary to recognize that the programme started from a near zero-base in terms of wildlife resource, institutions, and human capacity. Immediate economic returns were impossible, nor expected, but would depend upon investment in re-building this set of production capacities.

Barnes et al. (2001) developed detailed models to reflect a wide spectrum of conditions (based on five conservancies: Torra, Khoadi Hoas, Nyae Nyae, Mayuni, Salambala). These, together with the growth of wildlife initiatives on private land, confirm regional evidence that wildlife has

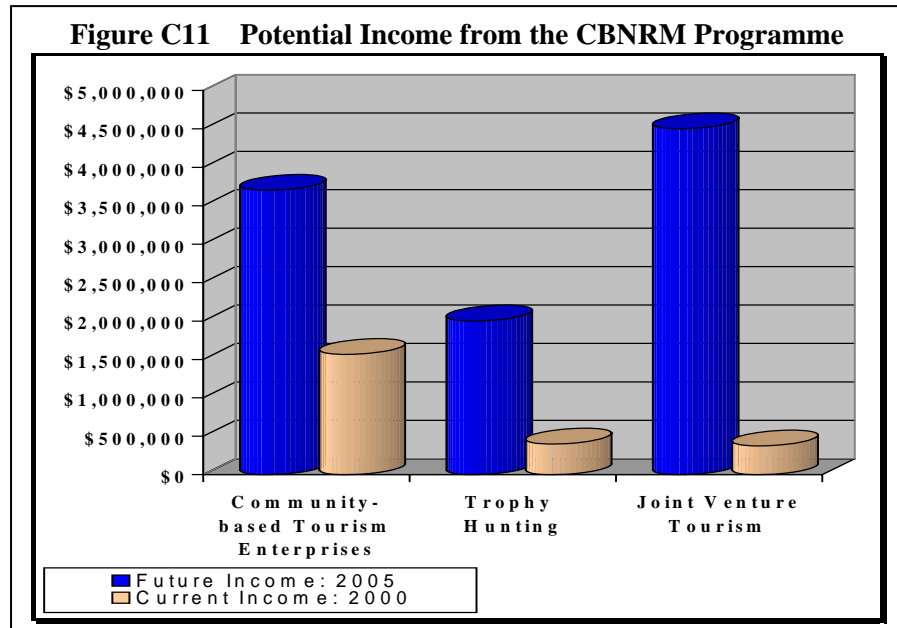
#### Box C6 The Namibian Tourism Sector

Tourism in Namibia is the fastest growing economic sector, currently accounting for more than 20% of Gross National Product, a turnover of N\$1.2b, a 14% growth rate, and contributing 12% to foreign exchange earnings. In 1998, some 350,000 tourists visited Namibia, with arrivals increasing at 7% per annum. High-end tourism grew despite the 40% overall drop in tourism caused by civil unrest in Caprivi and the region.

*Source:* North Central Regional Tourism Development Plan

a comparative advantage and is a sound investment. Barnes concludes that:

- Conservancies are economically efficient and likely to be sustainable;
- Conservancies provide attractive returns for communities, even if donor input is calculated as a cost;
- Achieving potential is highly dependent on the development of tourism joint ventures, with safari hunting also being important;
- Restocking is only economically efficient, if the conservation values of wildlife are included.

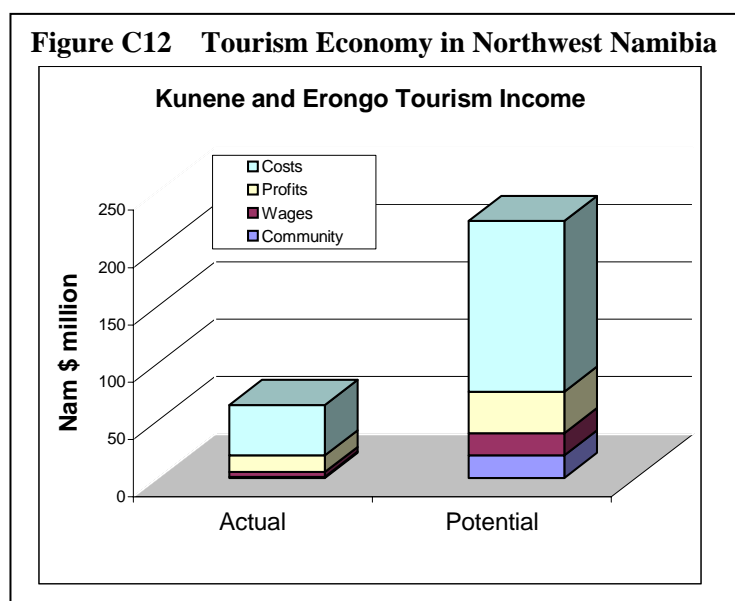


Barnes et al conclude that in most conservancies, the financial returns justify the community investing in wildlife even without donor input. The donor contribution is certainly economically efficient and can be justified in at least three ways:

- It represents a payment for non-use values, and is a willingness by rich nations to pay for wildlife conservation in poorer ones.
- It hastens the path to sustainability.
- It compensates for past discriminatory practices.

It is reassuring that all conservancies are moderately resilient to such factors as the impact of political instability on tourism, or animal rights on hunting, especially if they support multiple uses and negative factors do not operate simultaneously.

Also note that this represents only the payment for the production of the wildlife asset by the community. Tour operators then take this wildlife asset, convert it into a tourism product, and add further value through outfitting or tourism services. The impact on the Namibian economy, therefore, is considerably higher.

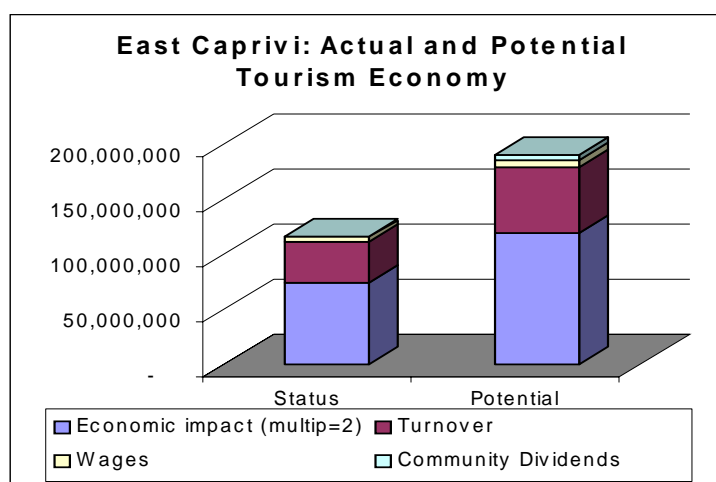


<b>Table C5 Models to Assess the Financial and Economic Sustainability of Conservancies</b>	Torra	#Khoadi/ Hoas	Nyae Nyae	Mayuni	Salambala
Area (hectares)	352,200	386,000	900,095	28,400	93,000
Wildlife area	108,586	177,650	900,095	13,300	11,000
Households	120	700	700	450	1,200
Ha/LSU	30	25	15	12	12
Tourism potential	High	Good	Fair	High	Fair
Safari Hunting potential	Good	Fair	Good	Low	Fair
Return on Investment (Profitability)					
Financial rate of return (including donor costs)	44%	39%	18%	24%	17%
Financial rate of return (excluding donor costs)	133%	205%	154%	220%	40%
Economic rate of return	131%	66%	22%	126%	31%
Impact					
Cash income per HH	3,388	598	675	1,628	355
Cash income (per Ha)	1.2	1.1	0.5	26	4.6
Economic Value added	1.4	1.2	0.3	29	4.9
Jobs created	8	12	26	22	12

- In rough terms, if the community makes \$1.20/hectare from tourism in Torra, this represents a direct tourism turnover of \$6.20 to Namibia (five-fold). With a tourism multiplier approaching 2.0, the economic impact on Namibia is about \$12.40.
- Likewise, the safari hunting income of \$0.5/ha in Nyae Nyae, translates into direct economic turnover of \$1.0 to Namibia (three-fold), or \$2.0 when the tourism multiplier is applied.

The relatively poor performance of some conservancies reflects the inclusion of non-essential expenditures. In Nyae Nyae, for instance, high employment is more of a social welfare mechanism than an investment decision<sup>17</sup>. In other conservancies (not analysed here) there is also a tendency to employ too many community game guards and to pay them too much. Such over-expenditure is usually associated with supply- or budget-driven processes, that is governments or donor as opposed to profit-seeking businesses.

**Figure C13 Tourism in Caprivi**



<sup>17</sup> This is confirmed by the Nyae Nyae Development Trust and by the Sustainability Analysis for Nyae Nyae Conservancy (July 2, 2001). There was some conviction by programme partners that the dependency created in Nyae Nyae is counter-productive, expensive, financially unsustainable, and needs to be reversed.

### 3.3 Tourism Potential

In collaboration with the LIFE enterprise team and associated consultants, the status and potential of each Conservancy in was described and assessed<sup>18</sup>. A spreadsheet was developed listing all current and potential tourism ventures in Kunene and Erongo, as well as actual or potential returns from this tourism. The results of this are provided in the graphic. While the data is coarse, the conclusions are nevertheless powerful.

These data are presented in table C6. In addition to showing how far the sector is from achieving its potential for the sector, the data illustrate the weak bargaining position of conservancies: fees acquired by conservancies equate to only 2.1% of enterprise turnover, when regional experience suggests that 10% is a fairer amount<sup>19</sup>, an assumption confirmed by data from the three negotiations so far facilitated by the programme (table C7).

<b>Table C6 Tourism Economy in Northwestern Namibia</b>		
	Actual	Potential
Impact on Namibian economy	98,230,130	375,940,296
Enterprise turnover	49,115,065	187,970,148
Costs	43,949,502	149,009,590
Profits for operator	14,480,463	36,227,501
Wages to community	4,116,260	19,287,565
Community fees	1,049,303	19,672,993
Conservancy fees as a percent of turnover	2%	10%

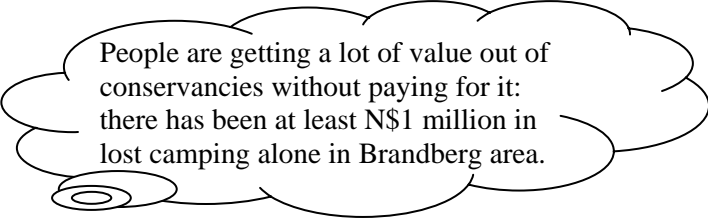
Achieving this potential will require the negotiation of some 40 high-end lodges and 10 middle-range operations in the Northwest and approximately twenty elsewhere in Namibia, many of these being in Caprivi (these figures tally closely with NACOBTA's independently derived targets).

<b>Table C7 Income from Some of the Better Joint Venture Arrangements in Conservancies</b>			
	<b>Damaraland Camp (Actual 2000)</b>	<b>Twyfelfontein Country Lodge (Actual 2000/01)</b>	<b>Spitzkoppe (Proposed)</b>
Bed occupancy	46%	31%	25%–50%
Average rate		N\$550	
Turnover	2,504,924	5,307,296	
Profit	399,132	(853,080)	
Conservancy Levies	230,725 (9.2%)	272,970 (5.1%)	Guaranteed: \$51,000–\$158,544 Predicted: \$263,000–\$873,000 Formula: 10% increasing to 12%
Wages	\$193,504 (7.7%)	\$1,112,142 (21%)	\$153,600 (Y1)–\$265,000 (Y10)

<sup>18</sup> The full details behind these graphics are provided in a spreadsheet “Actual and Potential Tourism in Conservancies 10 August 2001”.

<sup>19</sup> It should be noted that 10% of enterprise turnover often represents more than half of enterprise ‘profit’, especially after the opportunity cost of capital is included in the calculation. However, “10%” is often misperceived as being unfairly low by communities, politicians and officials with limited commercial experience.

The situation in Caprivi is very similar (table C13), again showing potential for growth. In Caprivi, communities are only attaining 0.3% of turnover as direct income to Conservancies. Even the North Central Region has potential, according to the Tourism Development Plan which estimates that the potential increase in this sector should generate between N\$13.8 million and N\$25.3 million a year.



People are getting a lot of value out of conservancies without paying for it: there has been at least N\$1 million in lost camping alone in Brandberg area.

Both average data, and conservancy-specific assessments, suggest that all sixteen Kunene/Erongo Conservancies should generate at least N\$1 million annually in direct fees, plus a similar amount in wages, without including the spin-off economic activities that this will provide. This confirms the independent conclusion of Barnes et al, that most conservancies have the potential for sustainability. A similar situation appears to prevail in Caprivi, and there is potential in most areas.

We therefore conclude that:

- The tourism sector, including hunting, has a large potential to contribute to the sustainability of Conservancies and the growth of Namibia's rural and overall economy.
- This potential is not being attained.

### 3.4 Factors Limiting the Growth of the Tourism Sector

A major challenge for LIFE and the national CBNRM programme is to build off the resource/institutional base they have developed, and to harness the tourism sector to make conservancies sustainable, a viewpoint shared by the private sector.

At present the tourism industry that uses conservancies is unplanned and uncontrolled. The most visible influences are a large number of 4x4s that drive wherever their fancy takes them, leaving their tracks in the form of garbage, illegal use of scarce firewood, 30m wide tracks through sensitive habitats, and other forms of irresponsible tourism. The burning of Welwitchias for firewood has even been cited. The consequences of this lack of control are a **high ecological impact coupled with a low economic impact**, with the share earned by communities being pitiful. In essence, the conservancies are being raped.

#### Box C7 Comments from the Private Sector

- ✓ "One thing is certain in my view, and that is without the ongoing support of agencies such as LIFE, we are going to go backwards at a time when the door has just opened to really exciting potentials in community-based tourism"
- ✓ "[the conservancy programme] is at the beginning of the exciting bit"
- ✓ "... can't afford to lose momentum"
- ✓ "great job in NRM. But no clue about business—so who is benefiting?"
- ✓ "highly successful start, but need to change gear to take advantage of this [wildlife] foundation"
- ✓ "need to be more experimental"

These symptoms can be traced back to a central cause: **the lack of control over access in communal areas**. A second cause is the lack of oversight of Namibian tourism, with little accountability for correcting problems or grasping huge opportunities. While uncontrolled access and weak tourism leadership manifests itself most visibly in the environmental damage and uncontrolled 4x4 tourism, the damage is far wider and of great magnitude.

- Economically, open access to many areas means that this market benefits from spectacular wildlife, culture and scenery **without paying for it**. Communities are the primary losers.
- Measures to proactively plan and develop tourism routes and sites are most notable for their absence. As we have illustrated, this opportunity cost can be measured in the hundreds of millions of dollars.
- Communal landholders have insufficient rights to control tourism on their land. As a result they acquire a pitiful share of revenues, are unable to control irresponsible use, and are hamstrung in developing their potential. Providing conservancies with the exclusive right to tourism, and assisting them to negotiate joint ventures, should increase their income fivefold.
- One consequence is that a number of operators that have sites are not using them effectively, since they are not required to pay a minimum use fee<sup>20</sup>. Some sites appear to be retained largely for personal use, imposing a large opportunity cost on both Namibia and conservancies.
- The planning of the sector, including many private sector operators, is unimaginative and reactive. The range of services, the quality of product, and the rates charged, are generally far lower than the regional average. Etosha, which could be used to spearhead the tourism industry is symptomatic of the weak/unimaginative enabling environment. The lack of control, vision and planning of the North Western tourism circuit, including Etosha, is costly in terms of the environment, the quality of the tourism product, and the economic impact on conservancies, the private sector and Namibia<sup>21</sup>.

#### Box C8 An Example of Lost Opportunities: Tsiseb

Irresponsible use of the environment is rife...

Profit from Ugab Camp: \$82,500

Lost profits:

1. Brandburg guides—no fees
2. Small scale miners—no fees
3. SRT Ugab River—no fees
4. Uncontrolled 4x4 worth at least \$225,000—\$35 per night
5. Professional lodge—\$220,000 fees plus \$95,000 salaries.

Actual revenue: \$206/member

Immediate potential: \$1million, or \$2,512/member

Source: Peter Ward, Tourism Consultant.

<sup>20</sup> A similar situation in South Luangwa National Park was rectified by the introduction of "Tourism Concession Agreements". These established an annual fixed fee (US\$3,600 for a six-bed site), plus a variable charge of \$30 per bednight, with the operator obliged to pay for a 40% occupancy rate. At high levels of occupancy (65% of bednights) fees were discounted by 50%. Thus, operators had a powerful incentive to fill beds because they were charged regardless, and could make good profits if they reached a high level of occupancy. The net effect was to increase park revenues from \$200,000 to \$750,000 annually within five years.

<sup>21</sup> The tourism sector lacks capacity and leadership from the Tourism Directorate. The strategic cost of this is huge. Management that is able to create leadership and vision is necessary to instigate the major changes needed to propel Namibia forward as a quality tourism destination



- We should also note that the provision of subsidized access to wildlife and tourism opportunities (a political subsidy provided under the apartheid government) is a policy that undercuts the development of the tourism sector on both private and communal land.
- Work is needed at a policy/macro level to provide incentives to attract international investors to the sector. The banking system is old fashioned. The tax structure has not been revised to support new business, and the possibility of tax-breaks for investments in communal areas and conservancies should be considered. While there is no shortage of small enterprise credit, there is insufficient technical capacity to access these sources
- In a nutshell, proactive management by countries such as Botswana has captured the high value, low impact market. The low value, high cost (environmentally) sector has been 'exported' to Namibia.

The tourism economy is large, but with imaginative and planned management it could be quadrupled. The growth of the tourism sector in communal lands, and Namibia, is limited by:

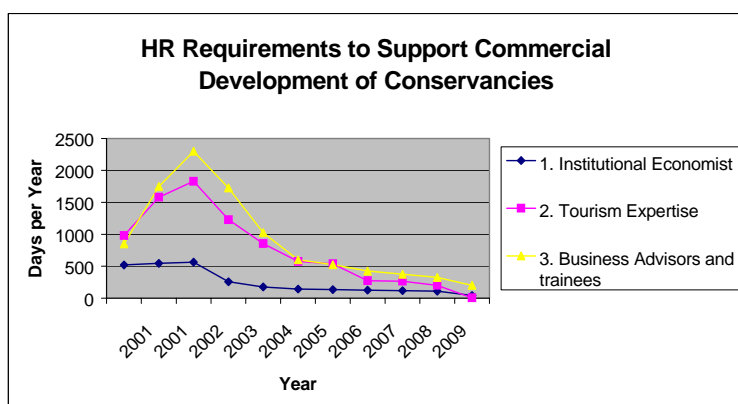
- Open access to resources
- An unimaginative and unplanned industry
- The absence of performance clauses in tourism leases and PTOs.

In direct contradiction of national policy, conservancies fail to get an equitable share because:

- They do not control access, and are therefore disempowered with regard to tourism planning and the negotiation of joint venture partnerships.
- There are no clear policies and procedures regarding PTOs and hunting quotas. While MET has informally stated that it will not grant PTOs to individuals, this needs to be agreed formally and supported by naming a link person.
- Conservancies lack commercial knowledge and negotiating skills.

Quality personnel is needed to rectify limiting factors, working directly with conservancies to develop their economic potential, and using this to work through policy and procedural constraints affecting the sector as a whole.

**Figure C14 Personnel Required To Develop 70 Business Partnerships and Address Related Issues**



If we take Spitzkoppe as an example, the input of roughly 100 person days of support (costing no more than \$250,000) has generated a guaranteed income to the community of \$1.256 million, and a projected income of \$6.2 million plus \$2.2 million in wages, over the next ten years. This benefit: cost ratio of between 5 and 32 fold certainly justifies technical support to communities, especially as it usually leads to

sustainable business relationships between communities and the private sector that will maintain the programme long after the donor and NGO support has dissipated.

A rough stab at the support necessary to get some 70 joint ventures and a supportive policy and procedural environment in place is provided in the figure. Note that this includes institutional expertise to re-structure conservancies prior to their having to manage major financial flows, as well as the training of young Namibians as business and tourism advisors<sup>22</sup>. This implies a requirement for some fifteen people for at least five years, half of these being trainees. This is obviously a major challenge to the programme. So is the development of Namibian tourism/business advisory capacity, especially as there are probably less than ten people in the region with the necessary combination of skills (community, business, natural resource and tourism skills), at least two of who are already in the LIFE programme.

The optimisation of the tourism sector involves complicated trade-offs (e.g. campsites versus lodges; volume versus price), and therefore should be carefully planned. This planning, moreover, requires a better understanding of the industry and suggests that key market research is necessary.

The recommendations (see bottom of section) propose the strengthening of a Commercial Team, much like the team already developed for NRM. Three suggestions or issues have consistently emerged:

- This team should use the Environment Economics Unit of DEA (SIDA-funded) for additional input to commercial negotiations, and economic assessment and monitoring of project impact, especially with additional links to WILD (DFID-funded) for field-based livelihood impact research.
- The team will need to carefully manage the trade-off between generating quick revenues and high levels of participation in the process, which is why the institutional capacity is included in this team.
- An emerging issue is the clash of individual entrepreneurial initiatives

***Box C9: The Ingredients in Tourism Circuits***

- The region supports a combination of low, medium and high-end tourist, using lodges priced anywhere from N\$300 to N\$1,600–4,000, in a mixture with organised and ad-hoc camping.
- Visits to Swakopmund, Etosha and other national parks, as well as farm stays are also part of this mix.
- In some cases there are trade-offs between, for instance, camping and lodges, while in other cases they are complementary.

This suggests that **imaginative planning**, with a commercial, a quality, and an environmental foundation, is required at the national, regional and conservancy level in order to optimize this plethora of opportunities. Moreover, planning is only useful if it is supported by **control** systems. Conservancies are ideally situated to do this, but need to be legally and operationally supported to implement control systems.

<sup>22</sup> In Namibia there is a serious dearth of business consultants, and the business consultancy sector is extremely weak. People cannot access credit (which is readily available) because they cannot develop good business plans or help to do so. One estimate is that there are only four reliable consultants suited to these purposes in Namibia.

with the collective management of conservancies, with several of these entrepreneurs being residents of the conservancies. As business is best done by individuals (rather than committees) guidelines need to be developed to guide these relationship. A possible model is to follow the lead of joint ventures and to encourage entrepreneurial activity within the bounds of the conservancy commercial plan, charging through the use of fixed and/or performance-proportional fees.

Interviews with the private sector have found them highly complimentary about the LIFE efforts at facilitating negotiations, especially in reducing the transaction costs of entering into partnership with communities. As noted above, however, they believe this capacity is way inadequate to meet the demands for growth. The private sector also provided some useful specific suggestions regarding the negotiation of these partnerships:

- Clear guidelines on procedures.
- A shortened negotiating process. They valued the mediation of LIFE and partners in reducing transaction costs with communities (problems include: several different groups claim to represent community; several NGOs do the same) but nevertheless suggested the process should be further streamlined.
- A single negotiating /brokering point person from the beginning (noting problems with knowing which community group and even which NGO to deal with). Tendency to lose institutional memory and cumulative knowledge without this.
- External monitoring of compliance of both sides. This should be built into contracts with external over-sight over implementation. They cited a misbalanced enforcement of contracts, with the playing field stacked against the investor.
- Community expectations are often excessive and need to be made realistic.
- There is need for a central investment/information point, probably in NACOBTA.
- Brokerage is a challenge—there is deep-seated mistrust from both sides.
- WWF etc. have played a crucial role in brokering and leading conservancy tourism, a role that government is failing to fill.

### **3.5 The Safari Hunting Sector**

The safari industry presently earns some N\$70 million annually, or \$120 million when indirect expenditure is included (NAPHA: Namibian Professional Hunters Association). Of the 3,200 international clients, some 2,800 are German with only some 200 Americans despite Americans paying more. It is projected that the American clientele will soon rise to 1,000–1,500, with Namibia having targeted this market for the first time this year. Efforts have also been made to train black Namibian hunting guides. The pass rate of the 24 guides trained by NAPHA (through Grellman) was over 80% compared to an average pass rate of about 4%.

There are strong indications that the potential of safari hunting in the Communal Sector is hardly being touched. Only three conservancies in the Northwest currently have quotas (eleven have at least some potential), and the quotas are extremely conservative (table C8), usually well under half of what could be sustainable. This imposes a high opportunity cost on conservancy communities. The same situation pertains to Nyae Nyae, and even to Salambala where more imaginative and opportunistic use could be made of migrating populations. The quotas in state-

controlled areas (East Caprivi; Bwabwata) appear more realistic, though elephant quotas may be excessive.

The procedures for applying for and receiving quotas also appear unclear, and need to be improved, especially as they discriminate against wildlife producers on communal lands.

Having spent a lot of money on monitoring wildlife populations

and improving the information base, it is important that the opportunity to expand and improve hunting in communal areas is taken. This requires expanded efforts in both the setting and approval of quotas and the negotiation of concession arrangements with safari outfitters.

This capacity should be added to the Commercial Team through, at the very least, the continued use of WWF SARPOs specialist skills in these areas. In this regard, it is recommended that community-based quota-setting and management systems are introduced. Given the potential value of this sector, serious consideration should be given to adding a person to the WWF partnership for the specific purpose of developing:

- Procedures and norms for applying for and reporting on quotas.
- A national quota management system, including a database. A single institutional home should be established for this census, quota and offtake data. Again, use of WWF/SARPO experience, which has already implemented much of this, will save costs.
- The capacity of communities to set their quotas and manage their hunting businesses. This is highly empowering. It teaches communities about wildlife management. It also demonstrates the value of quotas, which is likely to result in pressure to streamline quota control and monitoring process.
- Systems and norms to guide the negotiation of hunting contracts with the private sector. Ensure availability of professional support to assist communities to negotiate and manage hunting joint ventures.

The revenue implications are large. Imaginative use could also be made of own-use quotas by bridging the gap between high wildlife populations and traditional hunting skills, on the one hand, and the demand by tourists for biltong on the other.

**Table C8 Summary of Financial Implications of Quota Setting in Conservancies and Related Areas**

	Price Received for Quota	Estimated value of actual quota	Value of Potential Quota	How conservative is quota? %
Nyae Nyae	350,082	220,624	682,776	32%
Salambala	158,143	160,000	343,396	47%
#Khoadi /Hoas	140,701	343,760	704,457	49%
Torra	69,905	179,400	1,207,928	15%
Doros !Nawas	88,400	277,472	722,328	38%
Purros	No quota	0	1,114,880	
Ehrovipula	No quota	0	357,400	
East Caprivi	450,000	792,480		
Bwabwata East	620,000	721,336		
Bwabwata West	620,000	565,160		
East Kavango	720,000	626,496		

**Other conservancies with huntable game populations:**

- Matienfluss
- Orupembe
- Sanita
- Palmwag
- Etendeka
- Sesfontein
- Tsiseb
- Huab
- SorrisSorris

### 3.6 Community Tourism Initiatives

NACOBTA has a well-balance donor support base with a total annual budget of some N\$2.66 million (US\$330,000), seven management or advisory staff, and about three administrative and support staff. Membership has increased from 16 in 1995 to 45 in 2000, with at least 27 enterprises generating income (\$1,533,142 in the year to September 2000).

**Table C9 NACOBTA: Approximate Annual Budget**

	LIFE	SIDA	DFID	DFID North Central	TOTAL
Salaries	281,320	464,435	22,650	52,400	820,805
Consultancies	131,100	40,350	55,725	–	227,175
Equipment	–	–	85,000	–	85,000
Training	200,000	224,000	144,000	–	568,000
Marketing	121,380	100,500	72,000	30,000	323,880
Enterprise support	151,250	72,600	137,500	–	361,350
Travel	8,690	45,456	9,144	–	63,290
Audit	3,300	3,300	3,000	12,000	21,600
Other	88,100	3,500	30,900	–	122,500
Contingency	–	45,850	23,746	–	69,596
	985,140	999,991	583,665	94,400	2,663,196

The gross annual income from NACOBTA–supported enterprises is \$1,472,500, or only half of NACOBTA’s annual budget. However, income doubled from 1999 to 2000 and employment is provided to 163 full time staff (65 females) and 38 part time staff (15 females) in remote areas. The number of tourists visiting these sites doubled from 30,000 to

58,900 in the past year. This is impressive growth given that security problems in Caprivi have affected at least six enterprises. NACOBTA provides useful services. In the past two years basic tourism training has been provided to at least 14 communities, 13 have basic business plans, and 11 grants have been made (\$162,000). NACOBTA has also analysed CBTE financial systems showing that 8 are good, 13 fair and 7 poor.

NACOBTA has only recently entered into joint venture negotiations, and completed its first one in 2000 (Uibasen Conservancy and Twyfelfontein Country Lodge). It predicts the need for some 70 such negotiations over the next five years.

Without the possibility of deeper analysis, it appears that NACOBTA is providing a valuable service, and has well organised systems for monitoring its inputs and prioritising grants.

The biggest question hanging over NACOBTA’s priorities is that many of the enterprises it supports are only marginally viable, and that the net economic impact of this effort would be far higher if directed towards joint venture development. However, there is some consensus that this is a valuable part of the overall process of incorporating communities into the tourism industry, in that participation in CBTE’s provides an introduction to hands on management of tourism. This was emphasized by the private sector, who believed that running businesses was an important part of the learning process and would lead to improved joint venture negotiations.

NACOBTA is an example to follow where support is carefully prioritized:

- ✓ A conservancy tourism plan.
- ✓ A review of the plan by the private sector—will they use the facilities?
- ✓ Feasibility study and business plan.

They mentioned that 10% of turnover was actually a large fee (and a large proportion of profit), and only when communities were involved in their own businesses would they recognize this.

In general, NACOBTA appears to be working well. The only question is whether the Commercial Team should be housed in NACOBTA, or should rather provide supporting services and targeted mentoring. If housed in NACOBTA, it would change the nature of an organisation that is already working well to provide a specific service—the support of CBTEs.

### **3.7 The Craft Sector**

The development of the craft sector has been supported by the LIFE partnership (primarily through Rossing). Important interventions include:

- Training of local people in the production of quality crafts.
- The establishment of systems to monitor and improve the resource base. The Community Resource Monitors in Caprivi (all female) are an important example, and may contribute widely, as the sustainability of raw materials for the craft sector is a regional problem and there has been little experimentation with systems to promote the sustainability of natural resources.
- The development of reliable markets, including local outlets, outlets in cities, wholesaling, and pricing systems.

The net result is that the throughput of crafts through these systems has increased from \$60,000 to over \$1 million in only four years. The fact that crafts are produced by rural women, and make a contribution of some \$600,000 annually at the household levels, is important.

In the absence of specific and detailed research into this sector of the programme, the team can only conclude that this input is making an important contribution to broadening the human and resource base or NRM.

### **3.8 Strengthening the Business Enterprise and Institutional Team**

An assessment of commercial and economic information demonstrates the potential to make a large proportion of the current conservancies, including most of those in the Northwest and Caprivi, financially viable. The basis of this will be partnerships between communities and private sector tourism and hunting companies, supplemented by community based tourism businesses (campsites, craft and information centres, guiding). Private sector investments will also provide the nub around which to develop micro-businesses in areas so far largely devoid of commercial opportunity. This lays the platform for tourism to become a major economic sector, but harnessed to promote rural development in areas with few economic alternatives and specifically to benefit formerly disadvantaged Namibians.

The following recommendations are made on the assumption that taking the programme to sustainability as rapidly as possible is the driving motivation. If the decision is taken to phase out support in the next year, especially technical support, it is not possible to ensure programme sustainability much beyond the cessation of funding.

1. The Commercial Team should be renamed the Business Enterprise and Institutional Team and strengthened with:
  - Additional capacity to cover the increased workload in conservancy financial/business planning, and commercial/tourism development and negotiation.

Additionally, specific new skills requirements include:

- An institutional/organisational manager/economist to re-engineer conservancy institutions (see recommendation 1), and
  - Personnel with the broad-ranging ability to provide a framework for the hunting sector (see recommendation 4).
2. Given that the development of commercial activities should be undertaken only where sound Conservancy institutions are in place, and that managing tourism tradeoffs requires careful planning in many cases, the Commercial Team should be strengthened with institutional skills, as well as expanded to meet demand (we estimate the need to negotiate some 70 tourism partnership and at least ten hunting partnerships, each worth \$250,000 annually to the community).
  3. The Business Enterprise and Institutional Team should systematically address the financial and institutional sustainability of at least thirty conservancies. Using field-based support organisations as an entry point it should:
    - 3.1 Facilitate each conservancy to develop a business/commercial strategy that will make it financially viable as soon as possible, preferably within three to five years.
    - 3.2 As part of this process, encourage (even insist) that conservancies strengthen their institutional structures to incorporate Village-based participatory democracy, and bottom-up revenue flows. (These structures must be in place to ensure democratic, accountable, transparent and equitable systems to manage the anticipated income flows).
    - 3.3 Develop a tourism investment and management plan for each conservancy (this should assess opportunities and trade-off, and establish a programme for implementation. To ensure NRM sustainability, the NRM team should support these priorities).
    - 3.4 Establish personal links and credibility with the local and regional tourism sector, and identify or source potential investors.
    - 3.5 Develop investment portfolio for conservancies.
    - 3.6 Develop investor guidelines that shorten the negotiating process, establish a single negotiating point, and provide for the monitoring of the conformance of both sides to the contract.
    - 3.7 Broker agreements between conservancies and the private sector, acting as a point reference to reduce transaction costs and facilitate a fair deal through the transparent provision of information. This involves supporting and training both sectors (e.g. training conservancies in negotiating skills; making the private sector aware of community issues), as well as the facilitation of permissions through MET and other GRN Ministries. It also requires the development of appropriate contracts and contracting mechanisms.
    - 3.8 Put in place a system to systematically monitor the agreements.

- 3.9 Establish a mechanism to arbitrate disputes.
4. Given the potential revenue implications of the hunting sector, specific skills should be added to the team for the purpose of:
    - 4.1 Developing procedures and norms for applying for and reporting on quotas.
    - 4.2 Developing a national quota management system and database to be housed in MET/NNF?
    - 4.3 Developing community quota setting, monitoring and management.
    - 4.4 Developing systems and norms to guide the negotiation of hunting contracts with the private sector, and providing professional support to assist communities to negotiate and manage hunting joint ventures
    - 4.5 Experimenting with systems to use non-trophy animals.
  5. A number of factors, including control of access, agreements that have no performance clauses, the absence of clear procedures for PTOs or quotas, etc., limit the ability of conservancies to build and capture fair benefits from their tourism industries. These should be iteratively and systematically addressed through the process of pursuing community-private tourism agreements in conservancies.
  6. As a basis for the above, LIFE should support or facilitate the development of regional tourism plans.
  7. To support planning, LIFE should support and facilitate strategic research and information dissemination, possibly by catalysing partnerships between the EU tourism project, the Economic Research Unit in DEA, WILD, the Directorate of Tourism and others. Immediate areas of concern are the economic and environmental impact of the present uncontrolled tourism in communal areas, and market research describing tourism circuits, expenditures and areas of potential growth.
  8. To address the severe shortage of business advisory skills in Namibia, the Business Enterprise and Institutional Team should target key Namibians in MET, GRN, NACOBTA and the private sector for mentoring. Specific expectations should be agreed for each relationship, with the ratio of mentors to mentored being 1:2-3. Consideration should be given to accessing retired executives to support this process.
  9. A specific recommendation is that LIFE should introduce the community quota-setting procedures developed by WWF-SARPO into at least ten conservancies by 2002. This will build the capacity of conservancies to manage wildlife and hunting, will provide a strong technical base from which to pursue better quotas from MET (with large financial implications), and in demonstrating the financial opportunity costs of the present system, will provide conservancies with a strong incentive to argue for improvements in policies and procedures.



## **4. Support, Coordination and Control Systems for Conservancies**

### **4.1 Analysis of Demand for Services—And the Management of This Demand**

There is an accelerating growth in the number of communities seeking to take advantage of the Conservancy legislation. Simultaneously, there is an increase in the scope of demand for services as communities seek to complement organisation skills with NRM and tourism business capacity, while there is also pressure to diversify the programme into the full range of natural resources, rural development, and even the provision of social services, HIV/AIDS being of particular concern. The upgrading of the programme from representation to participatory democracy will also bring all members into the process, not just the elected representatives.

All this is happening at a time when support budgets are beginning to decline.

The provision of services such as training is a supply driven process. Services are provided according to the perceived need of conservancies as solicited by the support agencies. This supply-driven system results in an open-ended demand, with the communities requesting as many services as they can get and the controlling mechanism being the ability of the support partners to supply these services. While there is some evidence of good judgment in the supply process, it would be surprising if communities placed the monitoring of natural resources as high above the generation of revenues as the present system seems to indicate.

Supply-driven system, rather like the command and control (planned) economies they so closely resemble, rely excessively on the judgment of those in control (rather than the choices of consumers) as a prioritising mechanism. Technocrats are seldom right, with a strong tendency to maintain the status quo in favour of their comfort zone. Not surprisingly, the dominance of the LIFE programme by natural resource specialists is reflected in the provision of services to communities.

Better priorities are set when people are purchasing services using their own budget, than when they are wish-listing. The programme should experiment with a market-led approach to the provision of services.

For instance, conservancies could be allocated vouchers to ‘purchase’ services such as technical assistance or training. Thus a conservancy could purchase, say, 20 days of support annually. With the choice of service provision being made by the conservancies, they would begin to market-drive the supply of these services. For instance, if they ‘purchased’ more business/tourism orientated services than NRM monitoring services, the LIFE partnership would be led to switch its emphasis in the same direction. In essence, a demand-driven system increases the accountability of the partnership to its ‘customers’.

The initial allocation of ‘vouchers’ can be a complex issue. However, it can also be used positively. If linked to measures of conservancy performance it can provide powerful incentives for positive performance, and can be used to reinforce the performance monitoring system. It can also be used as an incentive for providing performance related information. For instance, a

conservancy can become eligible for its vouchers upon submission of its annual report, AGM minutes, etc.

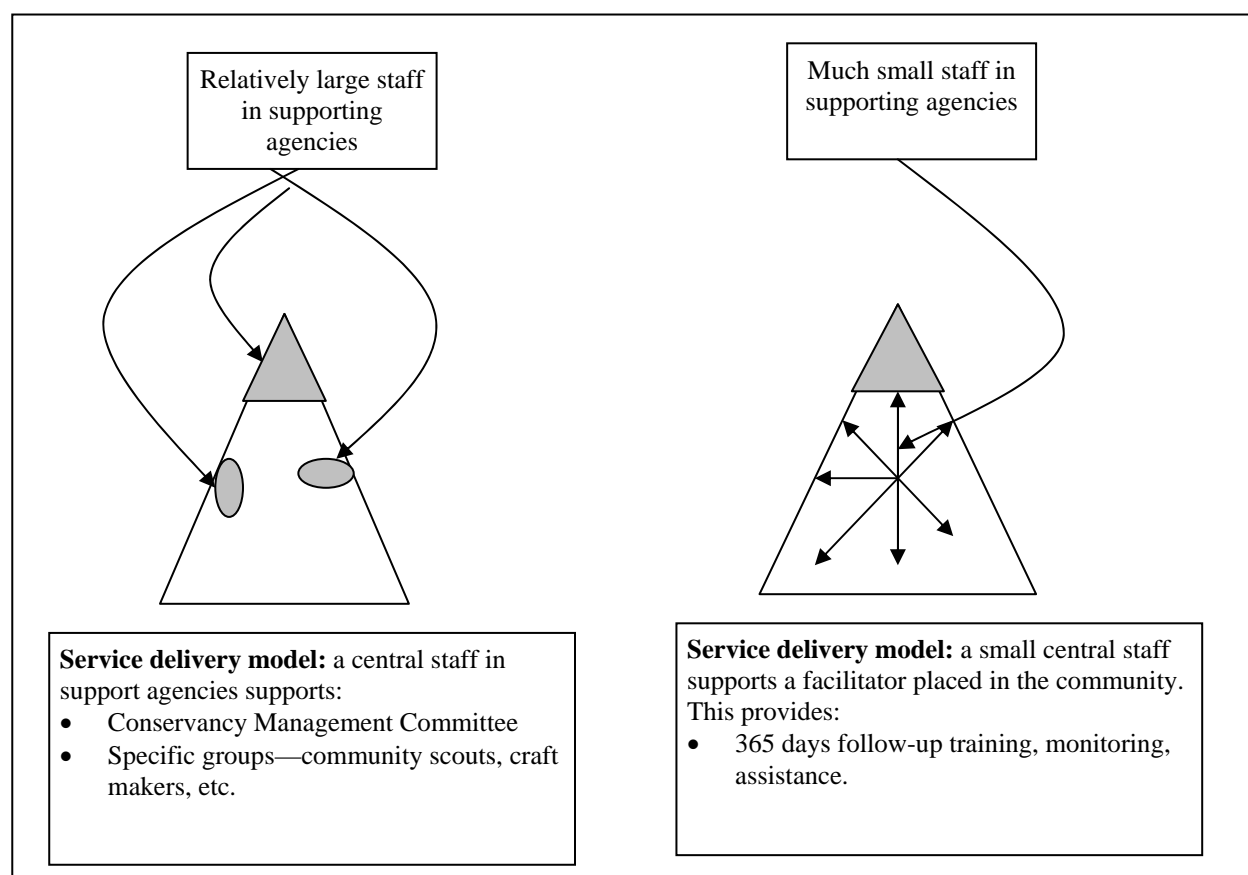
The initial design of these systems of checks-and-balances requires some sensitivity, but if done well they contribute to a self-reinforcing set of institutions and can reduce costs considerably.

## 4.2 Delivery of Services to Conservancies

The present model used in the LIFE supported programme tends to directly service Conservancy Management Committees and key groups within the Conservancy. This model tends to be more expensive as it relies on higher-level skills and transportation. It is also relatively ineffective because the amount of direct contact with the community is limited.

The alternative model depends on placing a facilitator (usually a locally recruited person with full school education) in the community, and then ensuring that this facilitator is trained in a range of disciplines and is supported and supervised regularly. In addition to considerable cost saving, the advantage of this model is the amount of direct contact with the community, since the facilitator can be expected to undertake two activities each day (e.g. attend village meeting, check finances, follow up on projects, assist scouts with records, debrief Traditional Authority, monitor financial report back at meetings, assess institutional performance).

**Figure C15 Comparison of Support Delivery Systems**



The model used for training, monitoring and facilitation is based on direct contact between support personnel and communities, with the latter usually being based in Windhoek or a field centre. So far this has been effective as measured by high-level indicators. We need, however, to assess whether it is efficient, especially as the programme scope expands and the budget does not, and as methodologies (e.g. monitoring of natural resources) solidify and less experimentation is required.

In the time available, it is only possible to test one data-point (East Caprivi) against one benchmark familiar to the writer (CBNRM in Luangwa Valley). This crude comparison shows that the Luangwa system is ten-fold cheaper than East Caprivi. Luangwa is much stronger on community institution building and financial management, is similar in terms of anti-poaching, does less resource monitoring (only counting wildlife once annually), and supports a similar number of community businesses.

Luangwa's innovation is the placement of a community facilitator in each Conservancy. This is cheap. It is also effective, provided the facilitators are regularly supported, debriefed and re-skilled. The facilitators provide a high quality of on-going support, follow-up and monitoring of community progress and performance (committees, participation, projects, financial management, auditing, institutional training, conflict resolution, etc.) and being closely in touch with their communities and able to address challenges proactively.

**Recommendation:** Experiment with an alternative service delivery and monitoring system, based on a broadly skilled facilitator (trained school-leaver) placed within a conservancy, with regular supervision and technical backup.

<b>Table C10 Benchmarking Service Delivery—East Caprivi and Lupande GMA</b>		
	<b>East Caprivi</b>	<b>Lupande GMA</b>
Support agency	IRDNC	SLAMU/LIRD
Population	27,800–40,000	50,000
Area (ha)	191,900+	450,000
Conservancies	4 gazetted; 3 emerging	6 Community Resource Boards
Village groups	??	43
Number of committee members	c. 100	430 (re-elected annually)
Bank accounts/annual audits	7–10	49–53
Staff compliment	Facilitators/Mgmt: 17 Field Officers: 18 In position: 28	Facilitators/Mgmt: 3.5 Based in communities: 8 Total: 12
Support that can be called upon	Good: LIFE, IRDNC, NACOBTA, Rossing, etc.	Limited: 2 weeks/ year WWF/SARPO
Annual budget	\$582,298	US\$60,000 (was\$120,000)
Vehicles	17	2 landcruisers; 5 motorbikes
Community Game Guards	90; Salary: N\$300–600/year (community / IRDNC)	77; Salary: N\$185/year paid by community
<b>Performance ratios</b>		
\$/person	\$13–18	\$1–3
Indications of relative costs: cost of diesel/litre	N\$5	N\$11.2

### 4.3 Performance Monitoring

Effective monitoring is essential to good management, since “what get measured gets done”. Equally, establishing good indicators requires a careful analysis and description of programme direction, provides a coordinating mechanism for a complex programme like CBNRM, and prevents the dissipation of effort in a non-directional manner.

Effective managers are usually able to distil even complex systems down to a set of indicators in a 5x4 matrix—five components, each with four indicators. Higher levels of complexity in programme indicators are usually indicative of problems—a lack of direction, excessive interest in detail rather than direction, a failure to analyse the system effectively, or conflicting goals.

The LIFE Project invested significantly in a Monitoring and Evaluation Process. This is a useful start, especially as it initiates a learning process. It is also valuable in quantifying progress or the lack of it. While essential for reporting to USAID, we nevertheless, believe the system can be significantly improved:

- The system is visually complex and difficult to use.
- The system appears to be excessively reliant on the inputs of a dedicated person, and may be expensive to maintain. It appears not to have been able to cope with rapid programme expansion. Neither is it institutionalised—it was difficult to access after the TA supporting it left the programme.
- The system is restricted to LIFE inputs and areas, and is not designed to support the national CBNRM programme.
- The system has been unable to rectify the unbalance within the programme, and is backward looking. While useful for showing the status of the programme compared to the starting point, it was not good at illustrating where effort is needed, and how resources were allocated with respect to these needs. For example:
  - ✓ It showed how many conservancies were registered, but little about how well they were working beyond the number of committee members.
  - ✓ It showed a growth in tourism income, but did not compare this to potentials.
  - ✓ It had also no indicators for NRM management, admittedly a difficult area, though excellent data was available from elsewhere in LIFE.As a statement largely of status, it is not a good tool for managing the programme, for setting programme direction, or for guiding the re-allocation of resources to where they would have greatest impact. It should be.
- The greatest criticism of the monitoring system is that it not owned by, nor really accessible to, communities and other programme managers. It does not invite peer review. It is not visual. Neither is it effective as a tool for adaptive management.

- While the programme is supported by commendable data sets, we were surprised that this had not been compiled, and how much time it took to develop a dataset to describe the overall programme.

A well-designed performance-conformance monitoring system can act as the central nervous system of the programme, keeping the various systems in balance, and providing strategic direction to the range of partners and beneficiaries. ‘Performance’ relates to progress, and should be compared to potentials/milestones as well as to the starting point. ‘Conformance’ implies that sustainability and equity depend on adherence to principles that embody equity, democracy, accountability and transparency. It is no coincidence that social justice and economic success is strongly correlated with market democracies, which is why this analysis has emphasized participatory democracy and demand-driven service provision. These principles, therefore, should be incorporated into the monitoring system.

Since performance indicators effectively set programme direction they should be decided collectively by partners and beneficiaries in a facilitated forum. It would be wise to experiment at local, regional and national level, and then to iteratively consolidate the performance system. While a unified, central database would be invaluable to the programme for both control and publicity purposes, the design of this system must be collective—it is too central to the entire CBNRM programme to be passed of to an individual to develop unless this individual has a strong mandate from the group.

Corporate management has invested much effort in designing control systems, with ‘control’ synonymous with ‘monitoring’. Repeating the warning that “too many controls [indicators] result in a loss of control”, business experience suggest that metrics should be limited to five Key Performance Areas, with three to four indicators of each.

It is also recommended that simple visualization be used wherever possible, and that visual depiction of performance be a centre-piece of peer review at all levels—the ‘villages’ within a conservancy; the conservancies within a region; a summary analysis of conservancies performance at national level.

Performance monitoring should be institutionalised using incentives and sanctions, with grants, quotas, etc. linked directly to procedural conformance and reporting. As suggested in the preceding section, building performance reporting into the incentive system is effective. Thus quotas depend on submission of offtake reports; grants depend on achievement and reporting on institutional objectives; revenue retention depends on proper accountability for the money in the formal sense of financial record keeping, but more importantly in terms of the transparency and control of revenue allocation and use by people in communities; joint venture contracts depend on the submission of key records; etc.

The review team has at times expressed some concern that social parameters are affected by the programme, yet are not monitored. The sustainable approach to this is to opt for systems rather than a social scientist looking over the programme’s shoulder. Hence the emphasis on transparent, accountable village level institutions, which empower the communities to work through their own issues (and the concern about empowering Conservancy Management

Committees). Naturally, communities should be provided with sound information, for instance gender training, to better inform their decisions, but provided the institutions are properly democratic and accountable communities should be entrusted to work through their own dilemmas. The ability of such systems to internally take on the massive issue of traditional, feudal governance, and to break a long entrenched hegemony in favour of modern, localised democracy, is testament to the power of such systems (e.g., Luangwa CBNRM programme).

#### **Box C10 Paradigm Shifting**

Instigate major shift in programme:

- Democratization
- Financial Viability
- Integrated Community Development
  - Bottom up governance system with broader NRM and development mandate
  - Improved planning process, driven by financial sustainability

One final point: even the best internal monitoring systems are insufficiently outward looking and have a tendency to support the status quo. Unchallenged systems soon stultify, and Namibia is particularly prone to this. It is therefore recommended that quality, strategic external review be built into the programme to provide the constructive criticism so essential to maintain success amidst rapidly changing circumstances. Such review (e.g., by CASS/PLASS) cannot play the comprehensive role of performance monitoring (it complements and builds off it), but is often more insightful and better able to challenge hegemonic thinking.

#### **4.4 Drive towards Bottom-Up Demand-Driven Control Systems**

At the risk of repetition, we make the case for broadening the programme, and shifting strongly towards a bottom-up approach. Using market-based systems is more efficient, and is a response to the expanding scope but declining resources available to the programme. It is also a far stronger development model. At present the top-down character of the programme is allowing project design to constrain the impulse for a broader development vision and the strong demand from communities for integrated development. This impulse to broaden, however, is not supported by the narrow mandate of conservancies. The heavily NRM focused planning process, and the present bias in support delivery towards NRM.

The programme phases a philosophical choice with major implications for programme operations: the choice is between a supply drive/command-and-control OR a demand drive, market-based approach.

There is also limited mention of democratisation in guiding frameworks. The programme is heavily NRM focused, and tends to be technical. The second philosophical choice is between reinforcing the status quo, or shifting towards a model centred on developing sound community governance systems, and then allowing these to set the direction. The present system provides the institutional framework for NRM. It does not provide sustainable community governance systems.

If the latter route is taken, as we strongly recommend, great emphasis will be needed on institutional sustainability, which is closely linked to how the money flows through them.

Having done so much good work the programme is well poised to make this shift, building on the strong start to tackle:

- Institutional sustainability—The need to anchor the programme on strong democratic organisations. Tackle conservancy-level institutional challenges, especially representation and revenue sharing
- Financial sustainability—Ensure conservancy sustainability before donor pullout. It will collapse if institutional and financial base is not secured. Tackle conservancy level financial sustainability and planning. Financial sustainability is a better departure point for planning, and should automatically incorporate integrated planning. Link support, loans, etc. to plans and performance on plans. Build a culture of planning and delivery.

To avoid the dangers of ‘aborted devolution’, this goal should be incorporated by:

- Incorporating the necessary indicators into the project frame
- Linking grants, quotas, PTOs to democratisation principles
- Include indicators of democratisation in the performance monitoring system.

An addition benefit is that strong conservancies provide a vehicle to support, or even drive, the decentralization process. in this regard, we would recommend proactively linking conservancies to decentralisation process with strategic support to key Regional Development Coordinating Committees as a way of improving coordination at this level.

## **Attachments**

1. Status of Conservancies
2. Actual and Potential Tourism in Communal Areas in Namibia
3. Estimations of Population Growth Rates and Values in Northwest Namibia: Extrapolations from 1980 to 2000

## *Annex D*

# CBNRM Policy Issues

### 1. Introduction

This section of the report aims to highlight the progress achieved to date in establishing a favourable policy and legislative framework for community-based natural resource management or CBNRM in Namibia, while identifying strategic actions needed to ensure that the program is sustainable in the longer term. Several concrete actions are also recommended to address the most pressing policy-related issues that are critical to the continued success of the program.

Several policy-related questions were highlighted in the Scope of Work for the Review Team:

- Is the existing policy and legislation in support of CBNRM sufficient?
- Are implementation guidelines in place and are they being applied consistently?
- Do the policies of other line Ministries support CBNRM?
- What other policies and legislation are needed to sustain CBNRM in the long term?

During the course of the assessment, the Review Team determined that the CBNRM partnership in Namibia had, at different points in time, tried to address these questions. The following analysis has been informed, therefore, by a considerable degree of prior and ongoing attention to policy matters by the organizations supporting CBNRM in Namibia<sup>23</sup>. The following analysis has built upon these prior efforts, and endeavours to present a more up-to-date response to the main questions posed in the Scope of Work by integrating additional insights gained from the field visits to the Caprivi and Kunene regions, as well as interviews with key stakeholders.

### 2. The Policy Framework for CBNRM in Namibia

Although the LIFE project was launched in 1993 with a focus on community-based wildlife management, the participatory nature of the overall program has encouraged a steady evolution to a broader, national CBNRM program. Namibia's CBNRM program aims to support the transition from state ownership and centralized control over natural resources and a situation of relatively unorganised and disempowered rural producers dependent on open access natural resource based production systems, to a system that supports:

- the emergence of legalized *community-based* organizations with specific, devolved rights to benefit directly from natural resources and responsibilities for their sustainable use and management, and

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<sup>23</sup> See for example: Hagen et al., 1998, *CBNRM Sector Assessment for Namibia*. Steve Johnson, ed. 2000, *A View of the Future: Community-Based Natural Resources Management in Namibia*. Proceedings of the CBNRM Association of Namibia's Planning Conference. Brian Jones et al., 2001, *Development of a Five-Year Strategic Vision for CBNRM in Namibia*; Consultancy report for NACSO, and LIFE/WWF, 2001 *Semi-Annual Report for Phase II of the LIFE Programme for the period October 2000–March 2001*.



- the participatory development of decentralized, natural resource *management* systems with locally defined, enforceable controls on resource access, agreed upon limitations on land use, tools to ensure the sustainable use and regeneration of resources, and transparent, accountable procedures to allocate benefits<sup>24</sup>.

The policy foundation for community-based wildlife management and the major impetus for CBNRM in Namibia began with the 1992 Policy on the Establishment of Conservancies<sup>25</sup>. This policy paved the way for the establishment of conservancies on both commercial or freehold farms and communal land. Commercial farmers had for some time taken advantage of their clearly established ownership rights over certain species of game, and as a result, wildlife populations had dramatically increased and a multimillion dollar hunting and game-viewing industry had developed. The 1992 policy enabled conservancies to be formed by groups of farms or by communities living in communal areas for the purposes of conserving and utilizing wildlife, in association with traditional farming or livestock-raising activities, on their combined properties and/or communal land area. While conservancies could be formed in communal areas on the basis of this policy, communal area resident still did not have rights to benefit from the use wildlife, until 1995.

The Policy on Wildlife Management, Utilisation and Tourism in Communal Areas was adopted in 1995, and provided a means to implement the 1992 policy by granting rights over wildlife to communities in communal areas that were organized as conservancies. This new policy was adopted to ensure that 1) the same principles that governed wildlife use on freehold land were extended to communal land, and 2) rural communities in communal areas were able to undertake tourism ventures and develop tourism activities on state land. Among the objectives of Namibia's Policy on Wildlife Management Utilization and Tourism in Communal Areas are: the establishment of an economically based system for the management of wildlife and other renewable living resources on communal land, and the promotion of a partnership between local communities and the government in the management of natural resources.<sup>26</sup>

The Ministry of Environment and Tourism (MET) also approved in 1995 a policy on the Promotion of Community-Based Tourism, to enable local communities to share in the benefits of tourism activities through concessionary rights to lodge development within conservancy boundaries. Prior to the enactment of this policy, tourism concession revenues went to the Government Treasury.

An additional step was taken in 1996, by the amendment of the Nature Conservation Ordinance of 1975, to specify the conditions under which communal areas conservancies could be established. The Nature Conservation Amendment Act of 1996 stipulated that communal area conservancies must have a:

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<sup>24</sup> This section is focused on an analysis of the policy, legislative and institutional framework that supports CBNRM; see also Annex G for a more in-depth discussion of the development of support systems, tools and methods for the sustainable use and management of natural resources.

<sup>25</sup> Information for this section has been summarized from B. Jones, *Rights, Revenues and Resources: The Problems and Potential of Conservancies as Community Wildlife Management Institutions in Namibia*, Evaluating Eden Discussion Paper no. 2, IIED, London, 1999, p. 5–7 and Annex 1.

<sup>26</sup> See B. Jones, 1999. Annex 1. p. 29

1. Defined geographic area with boundaries agreed upon by the community
2. Defined membership, with registered community members
3. Representative management committee with the ability to manage funds
4. Legal Constitution, which provides for the sustainable management and utilization of game
5. Plan for the equitable distribution of benefits derived from the consumptive and non-consumptive use of game

Once these conditions are met, the conservancy can be registered, the boundaries gazetted, and the local community can assume rights to huntable game and concessionary rights over commercial tourism activities and other non-consumptive or recreational uses of wildlife. Additional regulations were adopted in 1996 to clarify certain terms and procedures, particularly with respect to the registration of conservancy members and the issues to be covered in a conservancy constitution. These regulations also enabled conservancies to propose quotas for wildlife use, have ownership over huntable game, apply for permits to use protected game, conduct trophy hunting and to buy and sell game<sup>27</sup>.

### **3. Strengths and Weaknesses of the Existing Policy Framework**

The policy framework for community based management of wildlife and related tourism activities in Namibia is widely considered as one of the strongest legal foundations for CBNRM in Africa. It is significant as a means to:

- Redress the past inequities of apartheid, by enabling people living in communal areas to have the same rights to benefit economically from wildlife as “commercial farmers” living in freehold areas
- Provide a legal basis for the establishment of a community-based organization (the conservancy) committed to the sustainable use of natural resources, and
- Serve as an entry point for the devolution of management rights over wildlife and other natural resources to local communities.

However, the conservancy policy and legislation skirted the issue of land tenure and land use planning, which has yet to be fully resolved in Namibia. The community living within the area of a registered conservancy still does not own the land or have clear ownership rights to the natural resources. All land in communal areas remains the property of the state, and the communities only receive conditional use rights to specified resources. Most significantly, “outsiders” who are not members of the conservancy are still relatively free to move into the gazetted area of a conservancy with their livestock, or to otherwise make use of the pasture and other resources in communal areas. Although the legislation provides for the recognition of the boundaries of a conservancy, it does not confer any special status on the land within a conservancy as some form of protected area, or as an area with locally defined controls on land use<sup>28</sup>.

As the LIFE team and others have pointed out,

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<sup>27</sup> See Ministry of Environment and Tourism, “Questions and Answers about Communal Area Conservancies in Namibia”, p. 4.

<sup>28</sup> This situation may change with the approval of the new Parks and Wildlife Management Bill, which would enable communities to seek one of several possible categories of protected area status for their conservancy.

“At present, conservancy committees are only legally authorized to manage wildlife, and have no legal basis to regulate the use of other natural resources. This limitation imposes severe constraints to long term effective wildlife management, as the absence of regulatory control over competing uses of other natural resources can undermine wildlife management efforts and affiliated, complementary tourism activities. In particular, competition from uncontrolled livestock grazing, ad hoc agricultural developments, over-exploitation of forest and veld resources, and/or random resettlement can destroy critical wildlife habitat and marginalize the viability of conservancies”<sup>29</sup>.

In addition to these uncontrolled and potential adverse impacts on wildlife management and related tourism, the current policy and legislation does not secure the land rights and provide incentives for local communities to benefit from a broader range of integrated natural resource management and locally initiated sustainable rural development initiatives.

At present, Namibia does not have an overall CBNRM policy and associated legislation in various line ministries to affirm and coordinate community based management of all renewable natural resources. Nor does the current policy and legislative framework include provisions related to decentralization and the integration of conservancy level development plans into regional development priorities.

While the team was unable to meet with officials of the Ministry of Local and Regional Government and Housing (MLRGH) and others charged with implementing the new policies on decentralization, we did talk to Governors in two regions and to officials in MET about the relationship between decentralization and CBNRM. There is a risk that decentralization will effectively result in “regional centralization”, if the governors opt for top-down planning and “command and control” systems managed by government services at the regional level. However, there is also an opportunity for decentralization to reinforce CBNRM, by building on conservancies and other community-based organizations as the foundation for bottom-up, participatory and democratic systems of regional planning.

In fact, several governors are quite enthusiastic about the conservancy program and have encouraged representatives of the conservancies to participate in the Regional Development Coordination Committees (RDCC). The national CBNRM program should facilitate the involvement of conservancies in RDCCs, and take advantage of opportunities presented through the elaboration of specific legislation related to decentralization which affirms the role of conservancies and CBOs engaged in CBNRM activities in regional land use planning, sector planning and decentralized management of natural resources. To this end, NACSO and its members should continue to publicize the activities of conservancies among local and regional government authorities, and help the conservancies to disseminate information about the boundaries of each conservancies, their membership and development plans to the regional authorities.

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<sup>29</sup> See section 2.0 of the Semi-Annual Report for Phase II of the LIFE Programme for the period October 2000–March 2001, dated April 2001, p. 13.

#### **4. Policy Implementation Issues of MET Guidelines and Procedures**

Since the adoption of the new policies on conservancies, MET has developed and widely disseminated guidelines that serve to clarify the steps to be followed to organize and register conservancies in communal areas. MET has also provided guidance for the preparation of conservancy constitutions, and for the organization of management committees. The early emphasis of the conservancy program on constitutions and management committees has also been reflected in the training and other support provided to emerging conservancies. While useful, this emphasis on constitutions and management committees runs the risk of diverting attention away from other critically important aspects of conservancy formation and operation, such as the development of democratic, accountable community institutions, the elaboration and implementation of development plans, NRM plans and benefit distribution plans.

More significantly, it has contributed to a focus on committee-based NRM instead of community-based NRM. Additional policy implementation guidance is needed to reaffirm the primacy of the local communities, and to ensure that the management committees are accountable to the membership, through democratic decision-making, regular reporting to the entire community, and the development of transparent financial management systems and equitable benefit distribution systems.

During the course of the review, a number of other policy implementation issues were raised by conservancy members, NGO support organizations and other stakeholders in the national CBNRM program. Many of these issues have created delays and misunderstandings that could threaten the continued success of the program. There is a critical need within MET to develop and adopt clear guidelines, review criteria and standard operating procedures to fully support the implementation of the conservancy policy, and to ensure the consistent interpretation and application of the associated regulations. Several problems of this nature have been noted over the past year, including, for example, delays in awarding trophy hunting concessions, unilateral imposition of deadlines for preparation of management plans, confusion over the rights of conservancy to “hunnable game”, issuance and renewal of concessions by MET that conflict with the expressed interests of conservancies, etc.

*The Review Team recommends that MET and stakeholders in the conservancy program should meet and agree on additional guidelines (to be widely disseminated) and clear procedures (to be followed within MET at the field and headquarters levels) that support a streamlined and transparent process to:*

- *Review and approve applications for registration of conservancies in a orderly, timely and transparent manner.* The process currently takes a minimum of several months, and could be shortened to ensure a more efficient and thorough review of compliance with the legislation; a checklist is used by MET staff, but MET and NACSO members could collaborate more closely in the use of the conservancy development profile to assess the organizational soundness of proposed conservancies.
- *Develop and widely disseminate guidelines for the preparation of relatively basic or simplified NRM plans and related planning processes to be undertaken by conservancies.* The guidelines should provide for flexible adaptation and use by the conservancies in

response to local priorities and circumstances, and not impose a lengthy and potentially expensive planning process that is likely to exceed the planning and management capacities of most conservancies.

- *Develop and widely disseminate guidelines for the preparation of Benefit Distribution Plans.* While the conservancies have committed in principle to the equitable distribution of benefits in their constitutions, the operational procedures for benefit distribution could be clarified and better understood by all members of the conservancy. In general, the development of benefit distribution plans could be more participatory, emphasized at an earlier stage in conservancy planning, and implemented as an important and integral part of conservancy management activities.
- *Review and agree upon principles and procedures to address problem animal control (PAC), and to allocate trophy hunting quotas, tourism concessions and hunting concessions.* This need was raised by a number of conservancies that the Review Team visited. Clarifications and guidance are needed to avoid time-consuming, centralized, ad hoc decision-making and to facilitate resolution of these issues at the local and regional levels in a timely manner.
- *Collaborate (with NACSO and other interested parties) to incorporate guidance on the registration process, NRM plans, Benefit Distribution Plans, PAC, quotas, concessions and the like into the next, expanded version of the MET "Tool Kit" for conservancies.* This tool kit should also include to the extent feasible a summary and commentary of policies and legislation in other sectors that are relevant to CBNRM. For example, the tool kit should incorporate full guidance on the new policies and procedures related to the establish of community forests. The new tool kit should be available for use by the CBNRM Unit as soon as it is staffed and becomes operational (target date of October 2001).

As the MET is well aware of the problems associated with a number of these issues, they are currently trying to address them in the new legislation: the Parks and Wildlife Management Bill of 2001. Unfortunately, the team was unable in the time available to carefully review the draft legislation. It does appear, however, that many stakeholders are keen to review and comment on the latest version of the draft bill, and we hope that MET will encourage their participation in the finalization of the bill, in order to ensure that it is fully compatible with the aims of the conservancy policy and the national CBNRM program.

## **5. CBNRM Policies in Other Sectors**

A number of related policies and legislation in other sectors, outside of wildlife and tourism, have been formulated and in some cases enacted<sup>30</sup>. Both the new forestry and inland fishery policies are largely supportive of community-based approaches to the management of these resources. The new Forestry Bill (drafted and currently under review) provides for the establishment of community forests, to be managed by locally constituted organizations. The Fisheries Bill (recently drafted and currently in the process of adoption) also reportedly reinforces the notion of empowerment of local communities to monitor and control the use of

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<sup>30</sup> See several policy reviews by Brian Jones for a complete discussion of relevant items: *An Overview of Key Developments in the Legal and Policy Environment*, thematic presentation to the CBNRM Association Planning Conference, October 2000; *Community Management of Natural Resources in Namibia*, IIED Issue Paper no. 90, October 1999; *Lessons Learned and Impacts of LIFE Project Phase I: CBNRM policy and legislative review and analysis*, LIFE working paper, undated.

local fisheries resources. The new water policy white paper and draft legislation also provide a framework for the transfer of management of water points to local communities, through the establishment of water user associations.

These related policies are particularly important to conservancies, as they provide an opportunity to strengthen their ability to manage the use of other natural resources besides wildlife. A further devolution of rights to control access to these other natural resources at the local level is particularly important if CBNRM is to be successful. These policies in other sectors are also significant as a way to enable conservancies to manage resources in an integrated manner, and at different scales. While the size of many conservancies may be appropriate with respect to the scale required for wildlife management—forests, water and other natural resources may need to be managed at a lower scale, through various sub-conservancy divisions that can be organized for these purposes (e.g., water users association, community forest management committee, users group for local fisheries).

However, the regulations related to conservancies have not yet been amended to stipulate how they might use their status as a legalized community-based organization (CBO) to extend their rights and authority to manage and benefit from the management of forest, fisheries, water and other natural resources besides wildlife and associated tourism activities. Other line Ministries may not feel the need to recognize the opportunities for conservancies that have been established under the provisions of MET policy to take advantage of CBNRM provisions in their sector policies. In fact, it may well be sufficient to simply ensure that each Ministry makes provision for devolving rights and authorities to some type of “generic” community-based organization, that meets certain criteria (defined community membership, democratic, accountable management systems, plans for sustainable use, equitable benefit distribution)<sup>31</sup>. However, there is still a need to communicate these related policies to conservancies so that they can take advantage of such provisions, as appropriate.

**Recommendation:** *NACSO and its members should continue to monitor the development of legislation and regulations in forestry, fisheries, water and related NR sectors to ensure their compatibility with the goals and objectives of a national CBNRM program; they should also help to disseminate this information to conservancies to enable them to capitalize on other CBNRM opportunities that could fit efficiently with the conservancy approach.*

## **6. Agriculture, Desertification and Land Tenure**

The National Agricultural Policy, adopted in 1995, also provides a framework for empowerment of local communities, and related legislation may open the door for group tenure over rangelands. However, the current legislative vacuum and resulting status quo with respect to the tenure and use of rangelands is seen as a primary contributing cause of desertification in Namibia. In 1996, the NAPCOD programme sponsored an analysis of policy factors and desertification “to inform policy makers of the impact of policy instruments on desertification

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<sup>31</sup> B. Jones, personal communication.

and to make recommendations for reform”<sup>32</sup>. The main conclusions and recommendations of this analysis are related to land tenure:

“Many of the instances of over-use of natural resources which result in degradation are a consequence of the fact that rural communities do not have secure, exclusive tenure over land and natural resources. While they bear the costs of overgrazing, deforestation and excessive water extraction, they are not in a position to reap the benefits of sustainable management of these natural resources. Other communities cannot currently be excluded from using natural resources which have been well managed by someone else. . . . *The introduction of secure, exclusive tenure at the community level is the single most important policy reform needed to prevent degradation.* . . . Tenure is not, however, a panacea. Rural communities will still face pressures from poverty, population growth, high expectation and wealthy individuals. A related institutional reform which is required is the creation of local bodies capable of managing natural resources within their community, with the support of regional and national State institutions”<sup>33</sup>.

While the conservancy legislation has helped to fill the need for a local body capable of managing natural resources, the role, responsibilities and rights of conservancies to manage natural resources other than wildlife needs to be affirmed. In addition, the crucial issue of land tenure in communal areas needs to be addressed if the national CBNRM program is to be successful and sustainable over the long term. This issue was flagged in the 1998 CBNRM sector assessment as a “priority” issue, and continues to be mentioned in subsequent reviews and plans. The Communal Land Reform Bill was drafted in 1999, but has yet to be finalized and adopted.

## **7. Land Policy and Land Use Planning**

The National Land Policy, adopted in April 1998, recognizes the need to remove uncertainty about legitimate access and rights to land in communal areas.<sup>34</sup> It argues for a “flexible and regionally appropriate utilization of natural resources”, and a clarification of “the roles and rights of government, the chiefs, the rich and the poor”. In order to address the lack of secure land tenure in communal areas, the policy proposes to introduce different but secured land rights, including a certificate of land rights, which could be held by legally constituted bodies and institutions exercising joint ownership rights. This would appear to provide an opening to secure the land and associated natural resource rights of conservancies and other CBOs, but the implementation of this policy is contingent upon the adoption of additional legislation.

It is proposed that the Land Policy legislation establish Land Use and Environment Boards that would be empowered to support “land use planning, natural resource management and related issues”. The administration of land in communal areas would be vested in Land Boards and traditional authorities. The Land Policy states that regional Land Boards would be responsible

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<sup>32</sup> R. Dewdney, *Policy Factors and Desertification—Analysis and Proposals*. Namibian Programme to Combat Desertification (NAPCOD), April 1996.

<sup>33</sup> Ibid., p. iv.

<sup>34</sup> Republic of Namibia, National Land Policy, Ministry of Lands, Resettlement and Rehabilitation. April, 1998.

for zoning, and the allocation of tenure rights, “including all renewable natural resources on the land, subject to the sustainable utilization and the details of sectoral policy and legislation”. Accordingly, the regional Land Boards would be empowered to introduce user fees for specified natural resources (such as grazing land). Long term leases could be introduced in rural areas, for up to 99 years, including the granting of tourism concessions, “where the Land Board is satisfied that no person or group of persons has existing rights to the land”. Minerals would still belong to the state.

Without any specific reference to conservancies and an affirmation of their land ownership rights, the land policy as presently formulated opens the door to a potential conflict with the conservancy policy, to the extent that it raises the possibility of direct leasing by Land Boards to private sector operators engaged in various enterprises in conservancy areas.<sup>35</sup>

To date, the resolution of land tenure issues and the establishment of Land and Environment Boards have been bogged down in debate over the Communal Land Reform Bill. *Given the critical importance of provisions related to land tenure, land use planning and allocation of land rights, NACSO and its members should seek out potential allies (such as NAPCOD, Farmers Unions and others) and constitute a standing working group to pursue this issue.*

*In the interim, NACSO and its members should explore the ways and means for strengthening the ability of the conservancies to exercise more local control on land use.* For example, can legal provisions be enacted for the review and recognition by competent authorities of Conservancy Zonation Maps? Can conservancies amend their constitutions to provide for a legally binding process to adjudicate land use disputes within the conservancy? How can the conservancies be strengthened with respect to their rights and powers to limit incompatible land and resource use within their officially recognized boundaries? These questions, among others, could be pursued by the NACSO working group with a view towards finding a way around the impasse over the adoption of the Communal Land Reform Bill.

## **8. Towards a Stronger Policy Framework for CBNRM**

While the issue of land tenure may not be fully resolved for some time, a number of other issues related to implementation of the existing conservancy policy also need to be addressed. The LIFE program has already helped to focus attention on the new tourism policy and legislation, and the draft Parks and Wildlife Act. It is hoped that both of these policy instruments, when finalized and enacted will further strengthen the conservancies as a vehicle to foster and implement CBNRM.

A central concern of the review team was the apparent weakness in the current policy framework and program vision for strengthening the decentralized management of natural resources in a context of locally planned sustainable development. The MET recognizes the success of the conservancy program in terms of enhanced protection of wildlife and increased benefits to local communities from wildlife management and community-based tourism enterprises. But are the MET and other ministries working together to strengthen the overall policy framework to

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<sup>35</sup> B. Jones, personal communication.



capitalize further on the longer term potential for CBNRM to serve as a paradigm for sustainable rural development?

As legally recognized organizations, conservancies have a legislated responsibility to ensure “sustainable use”. But can the sustainable use of natural resources be ensured without devolving powers or authority to control access and resource use by outsiders? There are currently no provisions for local communities organized as conservancies to exclude inappropriate land uses, nor are there any provisions to legitimise land use plans, zonation and NRM plans developed by conservancies. Under these circumstances, one can reasonably ask how the conservancies can really be expected to *manage* natural resources?

Furthermore, the current policy framework clearly aims to empower communities to benefit from the sustainable utilization of wildlife, but does it also empower communities to undertake integrated sustainable development planning, and assure the conservancies of a secure role in decentralized regional planning? What provisions are there in the current policy framework to help the conservancies deal with prospective conflicts over land use, and to cope with the added pressures on resources during times of drought? Can the policy be strengthened to add more incentives for CBNRM, and to encourage and facilitate the development of partnerships between environmental conservation, rural development and poverty alleviation organizations?

A reading of the constitutions and development plans that have been prepared by conservancies clearly reveal the desire of local communities to make use of the conservancy policy to pursue a broader vision of CBNRM. There appears to be a tension between what the people want, and what the policy currently supports. For example, the Oskop conservancy constitution affirms that they are:

“A community initiative dedicated to improve natural resources management and promote sustainable rural development to the advantage of the people of this area. . . to take advantage of the new conservancy legislation to expand the scope and effectiveness of ongoing sustainable natural resources management and engage the entire community in an integrated development strategy”.

The Torra conservancy management plan states their goals as:

“To develop the area in a manner that involves all stakeholders and the sustainable management of natural resources. . . to improve the living standards and reduce poverty by providing employment and income-generating projects based on the good management of natural resources”.

The team recognizes that the long-term success of CBNRM in Namibia will depend on a concerted effort by all stakeholders to strengthen the policy and legislative framework for the national CBNRM program, building upon but going beyond the foundation provided by the conservancy policy and legislation. While the conservancy program has achieved impressive results, much more can be achieved if the policy framework for the National CBNRM Program deliberately shifts from its early focus on wildlife conservation to a broader vision of CBNRM as

a vehicle for promoting sustainable use of all natural resources, rural development and poverty alleviation. *To this end, the team recommends:*

- *Establishment of an inter-ministerial task force or forum on strategies and programmes for CBNRM and sustainable rural development.* This idea was initiated within MET in 1999 and still has great merit. The forum would be designed to provide some degree of collaboration and shared oversight of CBNRM through increased information sharing and periodic joint program reviews. It would not seek to “coordinate”, but rather provide a mandate to field level agents of line ministries to support more actively local level coordination of CBNRM initiatives, through community based planning and approaches such as FIRM. The organization of the task force could be facilitated by the National Planning Commission, and the secretariat function assigned on a rotating basis to MET, MAWRD, MFMR, MLRR, MLRGH, and other interested departments. NACSO and the conservancy associations would be encouraged to be active participants.
- *Recognition in the land use planning process of a category of land managed by conservancies and other CBNRM CBOs.* As the legislation for Land Use and Environment Boards is prepared, the conservancies and supporting organizations need to ensure that the rights and roles of CBNRM CBOs to participate in regional land use planning exercises are recognized, and that the allocation of land and resource management rights should provide for secure joint ownership rights by conservancies and other CBOs.
- *Provision for a policy and institutional framework to support transboundary NRM.* To date the case of the inter-state collaboration to share scientific information and to collaborate on the management of shared, transboundary fisheries resources is a useful model to follow and to apply to other NRM subsectors.
- *Organization of a special working group of NACSO to develop a strategy for the formulation of a national CBNRM policy.* This policy would aim to promote the principles and approaches of CBNRM, legitimise the role of conservancies and other CBOs in CBNRM, endorse the need for local land use planning and NRM plans and reinforce the authority of such plans. The CBNRM policy and subsequent legislation would clarify the roles and responsibilities of conservancies and CBOs in integrated NRM planning, as an institutional model for local level coordination of support services and a demand driven, bottom up process for decentralized rural development planning and NRM. The new CBNRM policy would also promote the harmonization of sectoral NRM related policies and regulations so as to make them more relevant to and compatible with CBNRM, with particular attention to land tenure legislation and fiscal incentives for CBNRM.
- *Organization of a consultative process to explore the potential for fiscal policy reforms as a means of creating additional incentives for CBNRM.* For example, NR based enterprises that are identified by conservancies could receive preferential access to investment credit, tax rebates, or lower tax rates if they are developed by conservancies through the CBNRM planning and management process.

## **9. Policy Implementation and Related Institutional Issues at the National Level**

When the conservancy program was launched in the mid-1990s, the MET Directorate of Environmental Affairs (DEA) provided the intellectual leadership and strategic guidance for the program. The DEA played a critical role in tracking the experience of field-level pilot activities,

and applying the insights from this experience to guide the policy formulation process. The DEA also looked beyond the MET to consider the linkages between the conservancy program and other sectoral programs related to biodiversity conservation, NRM and rural development, and promoted the harmonization of policies and legislation in support of CBNRM. The overall management of the program was assigned to a full time coordinator working within the DEA.

Over the past few years, however, the departure of key staff from DEA has created a void in the MET leadership for the program. The Parks and Wildlife Management Directorate (formerly the Directorate of Resource Management, DRM), has gradually stepped in to provide oversight in the implementation of the legislation and to fulfil their functions prescribed in the regulations. However, the shift within MET from an emphasis on program leadership and coordination, to regulation and oversight has raised questions about the commitment of the MET to CBNRM and the further empowerment of local communities.

As part of the restructuring process within MET, a Technical Committee on Natural Resources was instituted several years ago. This Committee is chaired on a rotating basis by one of the Directors in the MET, including DRM/DPWM, Directorate of Forestry, Directorate of Scientific Services, and Directorate of Tourism. The committee routinely takes up matters related to CBNRM and the conservancy program. However, there is seldom sufficient time for this committee to proactively contribute to the improved management and strategic direction of the program. To address this difficulty, a working group on CBNRM was recently formed, and has begun to meet on a regular basis.

## **10. Establishment of a CBNRM Unit in MET**

With the restructuring of the MET, it is anticipated that the former Directorate of Resource Management (DRM), which has been recently re-organized as the Directorate of Parks and Wildlife Management (DPWM) will assume a greater role in supporting the implementation of the program. In anticipation of a broadening of the program scope, to encompass forestry, tourism and related CBNRM activities as well as wildlife management, plans were made to designate a small group of core staff to coordinate and facilitate the provision of CBNRM services at the field level. Although the creation and staffing of this CBNRM Unit had been caught up for some time in the broader MET-wide reorganization, in July 2001, three job descriptions were approved and advertised. These positions include a Chief Control Warden and two Chief Wardens. They are slated to manage the activities of the unit and to provide a point of contact for the MET staff working in the regions, and technical support for NRM and extension activities. Additional field level support for CBNRM is to be provided by 29 wardens, formerly working as information officers in MET in the various regions, and soon to be reassigned to the CBNRM Unit. The field level wardens will be accountable to both the CBNRM Unit leader and to the governors of their respective region, in keeping with the decentralization of selected government staff and functions.

The organization of the CBNRM Unit provides an excellent opportunity to reaffirm the government's commitment to the original objectives of the programme. If it is staffed by dynamic individuals, the new unit can strengthen a sense of government ownership in the program and make a strong contribution to the further development of the national CBNRM program. This could help to address a number of current concerns related to the implementation

of the policy, and counteract a perception among some MET staff that see the conservancy program as an NGO-driven activity, focused primarily on wildlife conservation, with most of the resources allocated to a few target areas. Failure to establish the CBNRM Unit would constitute a major roadblock on the “road to sustainability” of the national CBNRM program.

*To address this situation, the review team recommends the following:*

- *Accelerate the recruitment of the key staff positions in the CBNRM Unit, and provide for their orientation, training and operational support as quickly as possible for both the central core team and the field staff.* Field staff should be empowered to play a direct and responsible role in providing information needed by emerging conservancies, and in assisting the established conservancies with the preparation and implementation of their development and NRM plans. The field staff should be regularly briefed on the operations of the NACSO association and its members, so as to efficiently facilitate contacts between conservancies and other CBOs engaged in CBNRM and the appropriate support organizations. Conversely, the CBNRM Unit field staff should facilitate the flow of information about conservancies issues and community level CBNRM activities back to the central offices of MET and the NACSO secretariat through regular reporting. The staff of this MET/CBNRM unit would enable the MET to play a greater and more visible role in the further development of the national CBNRM program.
- *Strengthen the relationship between the CBNRM Unit, the CBNRM Working Group and the Technical Committee on Natural Resources (TCNR).* In order to enable the new head of the CBNRM Unit to carry out his/her responsibilities in the most effective manner, we recommend that the Unit be accountable to the Chairman of the Technical Committee on Natural Resources (TCNR) and liaise closely with the CBNRM working group within MET. The job description for the Unit Head includes a number of functions related to the promotion of CBNRM, networking among CBNRM partners and support organizations, support for the development of appropriate CBNRM policy and legislation, liaison with other MET units and regional chief control wardens, and representation of the MET. It will be very difficult to fulfil these responsibilities if the Unit Head does not have relatively free access to the other directorates and staff of the MET through the TCNR. The team also strongly supports the proposal by MET to recruit and assign a manager for the Unit at the Deputy Director level.
- *Promote a high level of teamwork, collaboration and information between the CBNRM Unit and the various specialized technical teams that have been organized to support the establishment and functioning of the conservancies.* In response to the demand for technical support services by conservancies, a number of teams have been constituted from among the staff of the support organizations, such as WWF, IRDNC, NNF, NACOBTA, RISE, NDT, Rossing Foundation and others. While the members of these teams do not necessarily all work for the same organization, they routinely share information, plan activities together and otherwise collaborate in their efforts to support the conservancies.

To date, a NRM team has emerged to support the mapping and description of conservancy boundaries, to provide assistance with the compilation of natural resource inventory data, resource monitoring and the preparation of conservancy development NRM plans and associated work planning. The CBNRM Unit core staff should be fully integrated into the various central

coordinating teams (NRM/MIU, business planning/joint venture development/community-based tourism, and institutional/capacity building). *To facilitate teamwork, collaborative planning and information sharing, the Review Team recommends that the CBNRM Unit and NACSO support organizations be co-located or located in close proximity to one another, to the greatest extent feasible.*

## **11. Suggested Role for NACSO**

The preceding sections of this report have included a number recommendations that NACSO could help to implement. These include supporting the activities of a policy working group, monitoring the development of CBNRM-related policies and legislation being developed by various ministries, continued dissemination of information about the enabling policies for CBNRM to conservancies and local communities, collaboration with MET to clarify guidelines and streamline procedures to resolve policy implementation bottlenecks, and the encouragement of continued efforts to strengthen the policy framework for CBNRM, particularly with respect to land tenure and increased rights to control access and use of natural resources.

In this context, the NACSO secretariat could activate the Collaborative Forum Working Group to improve communication and coordination between MET and NGO partners involved in CBNRM with a view towards addressing needs for program leadership, coordination, strategic planning, and related policy implementation issues. In particular, this working group, in close collaboration with the CBNRM Unit Head and CBNRM Advisor in MET, should systematically and comprehensively track the development of critically important sectoral policies, legislation, procedures and guidelines with a view towards ensuring that they are consistent with the goals and enabling conditions for a national CBNRM programme.

In order to make the most of the ongoing efforts related to strategic visioning, long term planning and sustainable funding of the national CBNRM programme, *the NACSO secretariat should continue to facilitate and support the “vision” working group, as a means to develop and implement longer term “action plans” and recommended priority actions for the national CBNRM programme* (such as those developed during the 1998 CBNRM sector assessment, the October 2000 Planning Conference and the April 2001 visioning workshop). This working group should report on a quarterly basis to the NACSO membership and interested GRN institutions on progress in implementing these action plans.

Given the importance of policy and legislation to the success of the CBNRM programme, and in view of the state of flux in legislation and the relatively large number of draft bills with relevance to CBNRM that are being formulated and discussed, *the team recommends that the NACSO secretariat include the position of a “legislative liaison”*. This person would be the point of contact for legislative updates, facilitate dissemination of information about relevant CBNRM policies, and serve to alert conservancy members through their associations and support organizations of the opportunities to participate in public hearings and other debates about pending legislation that may impact on conservancies and the CBNRM program. This person could also work closely with the Collaborative Forum working group to assist them in monitoring the policy formulation process, assessing potential opportunities and threats, and formulating strategies and catalysing action to fill gaps in the policy and legislative framework

for CBNRM, and to resolve contradictions, misunderstandings or other deficiencies in policy implementation.

## **12. Reflections on Performance Monitoring for CBNRM**

To date, the national CBNRM program has been handicapped by a lack of a small, focused set of well-defined impact indicators and an efficient system to monitor performance. The work by the MSI M&E and institutional development specialists has been useful to assess and guide the strengthening of individual organizations. The LIFE team has also helped USAID to meet its monitoring and reporting requirements. It is perhaps an opportune time for MET and other NACSO members to take the lead in conceptualising a set of indicators and a performance monitoring system that will help to guide the program in achieving its objectives, reinforce the broadened vision of the program and enhance its credibility with a wider range of stakeholders.

To develop such a system, the partners will need to revisit a number of basic questions:

- What are we aiming to achieve? How can the program accommodate the varied goals and objectives of different stakeholders?
- Where does the common ground lie? In sustainable rural development? More jobs and income? Progress with respect to other socio-economic parameters? More productive and sustainable use of natural resources? Reduced environmental and natural resource degradation?
- How can we efficiently track progress with respect to these goals and objectives, and regularly report to all interested parties and constituencies on achievements?
- How far have we progressed in realizing such a vision? Is it well known among government decision-makers and appreciated by the key stakeholders?

As background for selecting the key indicators and reflecting on the parameters of a performance monitoring system for the CBNRM programme, it may be helpful for NACSO to facilitate a reflection on the critical benchmarks or results to be achieved along the “road to sustainability in CBNRM”. For example:

- Local communities of resource users and managers are well served and organized within conservancies and other legally recognized CBOs; these CBOs function in a transparent and democratic manner, and their elected leadership is downwardly accountable to the members. The CBOs’ status, vision and strategy for sustainable development, and essential procedures are articulated and well publicized in a constitution that has been adopted by the assembled community.
- Financial management and benefit distribution systems are in place, and fully operational with safeguards against corruption. Investments in improved NRM and sustainable use of NR by community members are rewarded by increased levels of economic benefit that directly accrue to resource users and managers. Community members help ensure the effectiveness of common property resource management systems and share in an equitable distribution of benefits generated by such systems.
- CBNRM activities and decentralized decision-making procedures include provisions to manage (avoid and mitigate) potential conflicts over the use of natural resources.

- Appropriate numbers of sub-units are organized and functional to support the development and implementation of NRM plans. The CBNRM planning process serves to put local communities in control, and enables them to hold government and NGO service providers accountable for supporting their aspirations and needs. NRM and land use plans have been developed to secure local livelihoods and to meet priority development needs, are endorsed by the community, are recognized by the appropriate government agencies, and legitimised by the CBNRM policy and legislative framework.
- CBOs and other grassroots CBNRM institutions are organized into regional and national associations, and are empowered to represent the interests of their constituents in policy dialogue, public hearings, political debates and other forums. These associations are networked with other civil society organizations and capable of intervening in the political and governance process to defend the interests of the local community.
- Government extension services, NGOs and private sector service providers have a forum and organizational framework to facilitate information sharing and collaboration; they work together to complement one another's strengths and capabilities, so as to maximize their contributions to the goals of the national program.
- The national CBNRM program has clearly visible leadership, and an accountable and well-defined management structure. This structure is constituted as a quasi-public, semi-autonomous entity, and functions as a coalition of community association, government, NGO and private sector interests. The program benefits from closely monitored financial management, a well-organized performance monitoring system, adaptive management systems, and collective learning processes.
- Fiscal policies, taxation and revenue systems provide incentives for making capital, technical support and capacity building services available to local communities and entrepreneurs within the community. Established CBOs have secure rights and negotiation skills that enable them capitalize on income streams from NR based enterprises that are developed in accord with their development and NRM plans.
- Government policies are supportive of the progressive devolution of NR rights and responsibilities, as community level capabilities and systems are developed. Government decision-makers are regularly briefed on the performance of CBOs and CBNRM activities, and accountable in turn to elected representatives in Parliament and the general public.
- A free and open media promotes transparency, accountability and good governance.
- Environmental education begins in primary school, and is reinforced by all sectors of society. Human resource development is a fundamental preoccupation of the national CBNRM program. Public investments in education and human resources development, and associated applied research and information sharing activities ensure that qualified personnel are available and readily engaged in contributing to the goals of the national CBNRM program.

### **13. Summary of Key Recommendations on Policy**

*For MET and GRN:*

1. Strengthen policies to affirm the mandate and authority of conservancies and other CBOs to locally coordinate and implement integrated NRM plans.
2. Convene periodic reviews of CBNRM program activities in order to broaden an appreciation by decision-makers in the GRN of the program's accomplishments and potential synergies

and other opportunities. The National Planning Commission could play a lead role in facilitating the organization of such a review, to ensure that there is balanced participation from those supporting CBNRM with an environmental conservation orientation (MET), and those supporting CBNRM from a rural development perspective (MAWRD).

3. Establish an inter-ministerial forum on CBNRM, to meet quarterly with the aim of promoting information sharing and collaboration, and to reinforce the mandate for technical services from different line ministries to work together in support of locally-coordinated CBNRM activities. This forum would include representatives from MET, MAWRD, MLRR, MLRGH, MTI, NPC and others as appropriate, and could be chaired on a rotating basis, by a designated ministry.
4. Track and support the harmonization of sectoral policies related to CBNRM.
5. Capitalize on opportunities to reinforce CBNRM through fiscal policy reforms and other incentives.
6. Elaborate a unified, coherent and strengthened CBNRM policy.

*For NACSO and its members, including the WWF/LIFE team:*

1. Work with MET to clarify guidelines, and to streamline and decentralize regulatory procedures in a manner consistent with the original objectives of the conservancy policy.
2. Facilitate participation by conservancy members in the review of pending legislation.
3. Track and support measures aimed at increasing land tenure security and local control over natural resources.
4. Facilitate agreement among stakeholders on CBNRM performance monitoring indicators, and encourage the incorporation of these performance indicators into the work planning, approaches and reporting of conservancies, GRN services and CBNRM support organizations.



## *Annex E*

# **Conservancy Economics**

### **1. Privatising, or De-nationalising, the Wildlife Resource**

Historically, the wildlife resource was nationalized throughout the region, with landholders being prohibited from using wildlife as a commodity. The use of rangeland consequently swung heavily to livestock, especially as the sector was subsidized. In communal areas, wildlife had little value, whereas investing in livestock was made profitable because private owned livestock has free access to open access rangeland. By the 1990s, some 95% of large herbivore biomass in the region was comprised of cattle, goats and sheep.

### **2. Wildlife's Comparative Advantage**

From the 1960s, policy and legislation began to recognize that wildlife conservation would be best served by converting wildlife into a commodity that benefited landholders. This was first translated into policy or legislation in Zimbabwe and Namibia in the early 1960s.

Economic research showed that by the 1990s, wildlife had a comparative advantage in using rangelands, and was more profitable than livestock in terms of income, forex earnings and employment. The terms of trade were also shifting steadily towards wildlife given increasing demands for recreation, declining prices of primary commodities, and softening local currencies.

Wildlife has a comparative advantage as soon as the boundary of viable rainfed agricultural production is crossed (about 700mm), but its relative value increases with lower rainfall. Not surprisingly, wildlife also has an ecological comparative advantage. A wide range of mobile species is adapted to Africa's savannas and their variable weather patterns. Sedentary, single-species systems of exotic livestock are not. It is estimated that southern Africa's rangelands have lost some 40% of their productivity through bush encroachment (let alone soil losses where over-grazing is more serious). Not only has it resulted in widespread ecological damage, or desertification, but conventional livestock production is not viable, except where herders can free-ride on the environment: for example, in 1990, only 5% of commercial cattle ranchers in Zimbabwe were viable.

With the granting of partial use rights to wildlife on private land, ranchers responded rapidly to these economic signals. Wildlife enterprises grew rapidly, and even dominated traditional livestock enterprises on private land. These land use trends, with a major shift to wildlife in Zimbabwe, South Africa and Namibia where most private land in the region is found, confirm the economist's assessment that wildlife is more profitable than alternatives, or at the least should be added to the enterprise mix.

### **3. CBNRM and Resource Pricing**

From the mid-1980s, several countries, most notably Zimbabwe (CAMPFIRE), Zambia (ADMADE), Botswana (NRMP) and Namibia (LIFE) initiated CBNRM programmes. While

CBNRM had wider aims including rural empowerment, democratisation and conservation, it served to modify the institutions governing property rights and benefits. The intention was to improve economic institutions and pricing mechanisms to ensure that wildlife's comparative economic advantage was more closely reflected in private benefits, and thus in landholder decision-making.

A major constraint to this process was the historical tendency to view wildlife benefits as a public asset. Wildlife benefits were often used collectively for social infrastructure or to cover the organisational overheads of communities. There was often bureaucratic resistance to allowing people to benefit directly from wildlife. The more wildlife benefits could be treated as public assets, the greater influence these officials and community leaders had over them.

However, wildlife benefits are managed as private benefits, through mechanism that treat wildlife just like other natural commodities (livestock, agriculture), economic signals will continue to be stacked against wildlife.

The greatest progress in "getting prices right" is associated with revenue distribution processes where individual community members have the full right to allocate and use wildlife benefits, including cash dividends. This also empowers people to drive their own destiny, since wildlife revenues flow *upward* to the command of the entire community. Fiscal devolution of wildlife revenues has begun to level the economic playing field for wildlife. It has also been a powerful tool for grassroots empowerment, democratisation and institutional-building. There are few other tools that can be used as powerfully to improve rural governance, while simultaneously avoiding high levels of conflict. Most other resources have already been captured, so that the devolution of benefits and promotion of equity creates serious conflict with entrenched elite groups.

While there are other reasons for supporting CBNRM, from the economists' perspective two institutional factors are important:

- the delineation of rights to wildlife and other resources as a basis for resource pricing and allocation; and
- the removal of the differential taxation associated with the tendency to view wildlife as a social asset.

The remainder of this section will assess the potential role of wildlife for improving livelihoods in Namibia. First it is necessary to look at the economic potential of wildlife, and especially whether the concept of conservancies is economically and financially viable. Second, it assesses the institutional constraints that prevent the full realization of the value of wildlife. While this is an economic assessment it obviously has repercussions for wildlife conservation. By ensuring the private-community ownership of wildlife, incentives are created for sound natural resource management. It also has consequences for livelihoods, where both the capture of benefits by formerly disenfranchised Namibians, and the need to organise communities along democratic lines to manage this new economic asset, can be strongly beneficial.

#### 4. Wildlife Profitability and Conservancy Sustainability

Trends on private land confirm wildlife is profitable. In the twenty years to 1990, the number of species increased 44%, biomass increase 80% and economic turnover doubled to N\$56 million in 1990 values (Barnes and De Jaager 1992). This was before the major regional surge in tourism in the 1990s, with tourism appearing to be Namibia's fastest growing sector in the mid-1990s<sup>36</sup>.

Colonialism, and especially apartheid, had a massive impacts on wildlife, and the economic institutions governing wildlife, in communal areas:

- Much of the wildlife in the communal sector was eliminated by the South African Defence Force, the desert elephant and rhino in Kunene, and wildlife populations in Caprivi being poignant examples. Indeed, prior to the conservancy programme, and its predecessor the Community Game Scouts initiated by IRDNC, the future for wildlife in communal lands looked bleak.
- The traditional conservation paradigm of "protecting" alienated wildlife from most Namibians. They were excluded from gainful, legal participation in the sector for fully thirty years after this failed protectionist policy was reversed on private land.
- Black Namibians were notably absent from the wildlife sector, and were excluded from developing the relevant knowledge, managerial skills and institutions.

When analysing the National CBNRM and LIFE programmes, therefore, it is necessary to recognize that the programme started from a near zero-base in terms of wildlife resources, economic institutions, and human capacity. Immediate economic returns were impossible, nor expected, but would depend upon investment in re-building this set of production capacities. Barnes et al.<sup>37</sup> developed detailed models to reflect a wide spectrum of conditions. These are based on five conservancies:

- Torra, high potential in Kunene region;
- Khoadi Hoas, also with good potential in Kunene, but having to support relatively high populations of people and livestock;
- Nyae Nyae, with reasonable hunting potential but basically too flat, remote and monotonous for significant tourism potential.
- Mayuni, with high potential largely owing to its proximity to the Golden Triangle of the Bwabwata National Park and the attractiveness of the Kwando river.
- Salambala, with relatively low potential owing to high human densities.

These models confirm regional evidence that wildlife has a comparative advantage and is a sound investment. They also suggest that most conservancies can be viable while making a significant, and even a large, contribution to household livelihood. As Barnes et al. conclude:

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<sup>36</sup> The real GDP of hotels and restaurants grew 35.94% from 1995 to 1999 against a national growth rate of 11.06%, and outgrew any other sector. Despite this, tourism was not reflected as a sector (Standard Band Namibia, Namibia in Figures, 2000/2001 edition).

<sup>37</sup> J. Barnes, J. MacGregor, and L.C. Weaver 2001. "Economic analysis of community wildlife use initiatives in Namibia." Research Discussion Paper No. 42, Directorate of Environmental Affairs, Ministry of Environment and Tourism, Windhoek, Namibia.

- Conservancies are economically efficient, and highly likely to be sustainable;
- Conservancies provide attractive returns for communities, even if the donor input is calculated in as a cost;
- Achieving these potentials is highly dependent on the development of tourism joint ventures, with safari hunting also being important;
- Restocking is only economically efficient if the conservation values of wildlife are included (i.e. assuming that the donor input is free).

Barnes et al. conclude that in most conservancies, the financial returns justify the community investing in wildlife even without donor input. The donor contribution is certainly economically efficient and can be justified in at least three ways:

- It hastens the path to sustainability.
- It compensates for past discriminatory practices.
- It represents a payment for non-use values, and is a willingness by rich nations to pay for wildlife conservation in poorer ones.

It is reassuring to note that all conservancies are moderately resilient to such factors as the impact of political instability on tourism or animal rights on hunting, especially if they support multiple uses and negative factors do not operate simultaneously.

Also note that this represents only the payment for the production of the wildlife asset by the community. Tour operators then take this wildlife asset, convert it into a tourism product, and add further value through outfitting or tourism services. The impact on the Namibian economy, therefore, is considerably higher.

**Table E1 The Viability and Sustainability of a Range of Typical Conservancies**

	<b>Torra</b>	<b>Khoadi Hoas</b>	<b>Nyae Nyae</b>	<b>Mayuni</b>	<b>Salambala</b>
Area	352,200	386,000	900,095	28,400	93,000
Wildlife area	108,586	177,650	900,095	13,300	11,000
Households	120	700	700	450	1,200
Ha/LSU	30	25	15	12	12
Tourism potential	High	Good	Fair	High	Fair
Safari hunting potential	Good	Fair	Good	Low	Fair
<b>Return on investment (profitability)</b>					
Financial rate of return (including donor costs)	44%	39%	18%	24%	17%
Financial rate of return (excluding donor costs)	133%	205%	154%	220%	40%
Economic rate of return	131%	66%	22%	126%	31%
<b>Impact</b>					
Cash income per HH	3,388	598	675	1,628	355
Cash income (per Ha)	1.2	1.1	0.5	26	4.6
Economic value added	1.4	1.2	0.3	29	4.9
Jobs created	8	12	26	22	12

- In rough terms, if the community makes \$1.20 from tourism in Torra, this represents a direct tourism turnover of \$6.20 to Namibia. This is based on the assumption that a community can attain 10% of the tourism turnover in user fees, and that a similar amount (10% of turnover) accrues to the community in the form of wages. With a tourism multiplier approaching 2.0, the economic impact on Namibia is about \$12.40.
- Likewise, the safari hunting income of \$0.5/ha in Nyae Nyae, translates into direct economic turnover of \$1.0 to Namibia. With trophy hunting, the revenue retained by a community that has a fair bargaining position is usually about one third of what the client pays the outfitter. This translates to \$2.0 per hectare when the tourism multiplier is applied.

The relatively poor performance of some conservancies reflects the inclusion of non-essential expenditures. In Nyae Nyae, for instance, high employment is more of a social welfare mechanism than an investment decision. In other conservancies (not analysed here) there is also a tendency to employ too many community game guards and to pay them too much. Such over-expenditure is usually associated with supply- or budget-driven processes, that is governments or donor as opposed to profit-seeking businesses.

## **5. The Potential of Tourism in Conservancies in Namibia**

This has been discussed in some detail in annex C. Our basic conclusion is that the potential for tourism in Conservancies, especially the Northwest, Caprivi, Nyae Nyae and even North Central is large, probably far larger than previously estimated by the LIFE programme.

However, open-access to these areas means that tourism is uncontrolled and unplanned. It is earning far less than it should (table C2), while imposing far higher ecological and other impacts than should be acceptable. The leadership and policy framework for the tourism sector, and even the tourism operations themselves, are unimaginative and sub-optimal. There appears to be little communication within the sector. The industry is desperately in need of improved leadership,

### **Box E1**

#### **How Fair Are the Business Partnerships with the Private Sector?**

One of the challenges with developing business partnerships with the private sector is a misunderstanding of how the finances work. The achievement of a user fee by communities of about 10% for tourism, or 33% for hunting, is perceived to be unfair. This is a misperception since these small percentages of turnover actually equate to a large proportion of the profit, usually as much or more than half. A well-organized community with sound assistance and information to support their negotiation, should get more than half the 'profit' from the enterprise if the process is open and competitive.

Without the benefit of time for a detailed analysis of the joint ventures so far concluded, my impressions is that they represent massive gains in favour of the community. Merely introducing tourism enterprises to formerly undeveloped areas provides significant benefits in the form of employment to the community and economic activity and forex to Namibia. Communities are averaging less than 0.5% of turnover. The Torra, Twyfelfontein and Spitzkoppe (potential) contracts therefore represent a twenty-fold increase in community share. This is commendable, and the 10% share negotiated appears reasonably fair when compared to similar arrangements in the region.

and the infusion of new ideas and foreign capital. The outmoded status quo needs to be opened up to competition, and imagination. The growth potential predicted for conservancies is certainly feasible given the quality of infrastructure and the wildlife, scenic and cultural resource. However, the ‘enabling’ environment is the primary factor limiting this growth.

**Table E2**  
**The Tourism Economy in Northwestern Namibia**

	<b>Actual</b>	<b>Potential</b>
Impact on Namibian economy	98,230,130	375,940,296
Enterprise turnover	49,115,065	187,970,148
Costs	43,949,502	149,009,590
Profits for operator	14,480,463	36,227,501
Wages to community	4,116,260	19,287,565
Community fees	1,049,303	19,672,993
Conservancy fees as a percent of turnover	2%	10%

*Note:* If recently negotiated contracts are removed, communities get less than 0.5% of enterprise turnover.

We have already mentioned that the underlying problem is the open-access nature of tourism in communal lands and conservancies. This considerably reduces the incentive for the careful planning of tourism, since the lack of control makes implementation difficult. It also creates investment uncertainty, which increases risk and therefore lowers prices and incentives. This is unfortunate because careful planning of the various regions (especially Caprivi and the Northwest) is essential to optimise the commercial and economic potential, and also to control possible environmental problems.

However, as an adjunct to the previous point, we make the observation that the level of use can be greatly increased provided it is carefully controlled. The ultra-conservative outlook of some conservationists is to exclude use by tourists, or to keep this to the minimum, for instance is ‘sensitive’ areas such as rhino habitat. These claims are probably more linked to proprietary territoriality than to real risks of negative impact. Moreover, the long term sustainability of wildlife is positively influence by linking it to careful commercial exploitation. This is illustrated by the experience of private land, but also by the close correlation between wildlife numbers and tourism operations in several African countries.

Returning the rights for rural Namibians to control the resources in their conservancies would provide a powerful mechanism for rectifying these problems. With support from the LIFE partnership and MET, they could plan and control the tourism industry. This would greatly expand the size, and reduce the impact, of the tourism economy. Moreover, by acquiring these rights, conservancies would be in a strong bargaining position, and could increase their share of the profits twenty-fold. Assuming the industry quadruples in size, the income paid to conservancies could be increased by a factor of 80. We have already described this in some detail (annex C), but we again emphasis the magnitude of lost opportunity, and particularly the continued inequity faced by Historically Disadvantaged Namibians living in subsistence conditions in conservancies.

## **6. Solutions**

Granting rights to exclusion, supported by assistance with training in business and tourism planning and negotiation, is necessary to achieve this potential, as well as an equitable stake in the sector by communities. To unlock this potential, we recommend that the Business Enterprise and Institutional Team be strengthened to support conservancies to develop and implement sustainability plans (see annex C).

This will obviously require making conservancies aware of the need to become financially sustainable before donor pullout. This awareness should then be translated into viability planning, and from there into tourism plans to manage the trade-offs and impacts of tourism, and to provide the basis for investment portfolios. The next step is to train and support communities to find private sector partners and to negotiate with and contract them to develop viable tourism businesses. Finally, support will be needed to maintain and oversee these relationships, and occasionally to arbitrate when conflicts arise. The same basic process applies for safari hunting, similar commercial skills but different technical skills are needed.

Establishing both tourism and hunting enterprises needs to be done in partnership with MET, with whom the Business Enterprise and Institutional Team should be closely associated to the degree that mentoring and training MET staff should be a priority of this team. This process should assist MET in streamlining procedures such as quotas, tourism applications (PTOs) and the like, leading iteratively to improvements in policies and regulations. The underlying philosophy should be threefold:

- That wildlife conservation is most likely where the primary beneficiary is the landholder community.
- That rights should be returned to rural Namibians as quickly and as fully as possible.
- That people should be empowered to determine their own destinies.

## 7. Economic Assessment of Programme

Given the time available, and the confounding of several inputs (other donors, MET) and factors (drought, civil strife, general economic trends), we can provide only a crude indication of the economic impact of the USAID–LIFE intervention.

There is good data (annex 3) to show steadily, and even dramatic, increases in wildlife populations. In rough terms, we have suggested that the annual incremental use value of wildlife in North Western Namibia (if it were fully used) has increased by US\$2 million. This figure does not include important non-financial conservation values, such as the preservation of desert rhino and elephants, or the many other forms of life that we cannot possibly quantify.

Table C3 provides a crude estimate of actual and potential size of the tourism industry that depends on wildlife, culture and scenery in communal areas and conservancies. Both are

### **Box E2 The Catch-22 of Devolution**

Devolution is sometimes hard to accept, mainly because it is a response to a catch-22 situation, and because of the tendency (unsubstantiated) not to trust rural people with the responsibility for their own lives:

- How can we give rights to people who have little experience with managing wildlife?
- But how can they learn to manage wildlife without actually managing it?

The only sensible option is to immediately entrust communities with use rights. Only by using these rights will communities undergo the experiential learning process necessary to develop real management capacity. However, this must be supported with careful monitoring, plus technical advice to correct the legitimate mistakes that are integral to the learning process.

considerable. The USAID–LIFE intervention has played an important role in securing the institutional and natural resource base for this sector. There is little doubt that this has been a wise investment of USAID money. However, the corollary is that failing to make the relatively small additional investments that can convert this solid start into a really major sector, is extremely unwise.

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**Table E3 Summary of Actual and Potential Tourism in Conservancies**

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	Economic impact	Enterprise turnover	Wages	Community dividend
Actual	216,376,284	110,067,923	10,205,624	5,631,261
Potential	720,416,163	328,087,059	32,020,029	42,998,830

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Many additional benefits of the programme relate to human and institutional capacity:

- Policies and norms are increasingly in place to devolve authority over natural resources, especially wildlife and tourism, to Historically Disadvantaged Namibians in Conservancies.
- Methods have been developed for NRM and for commercial planning and negotiations. This knowledge and experience is extremely valuable.
- At least 32 conservancies are sufficiently organised to use money accountably, and also to organise NRM.
- There are at least ten functioning NGOs supporting the sector, half of which are headed by black Namibians. Before the programme started, few of these were in existence, and they were certainly not led by black Namibians.
- A great deal of knowledge and experience has been developed about the principles and operationalisation of CBNRM, with global application.
- We should not under-estimate the value of the Namibian programme in the regional context. It provides a secure beachhead from which to re-inspire such initiatives in the SADC region once conditions are again conducive to devolution, democratisation and private-community business partnerships.

We must therefore conclude that the LIFE investment has been worthwhile, but that the potential for growth that it has been created should be secured through further strategic investment.



**Table E4 Crude Cost: Benefit Assessment of Economic Status and Potential of Tourism Enterprises in the CBNRM Programme**

Tourism sector	Present situation				Estimate of medium term potential			
	Economic impact	Enterprise turnover	Wages	Community dividend	Economic impact	Enterprise turnover	Wages	Community dividend
Tourism in Northwest	98,230,130	49,115,065	4,116,260	1,049,303	375,940,296	187,970,148	19,287,565	19,672,993
Tourism in Caprivi	74,460,376	37,230,188	3,723,019	116,177	119,202,000	59,601,000	6,048,600	5,287,200
Tourism in West Caprivi	23,075,670	11,537,835	1,153,787	26,243	80,000,000	20,000,000	2,000,000	2,000,000
Tourism in North Central					80,000,000	20,000,000	2,000,000	2,000,000
Safari hunting	14,477,540	9,651,693	321,723	3,217,231	53,273,867	35,515,911	1,183,864	11,838,637
Crafts		1,000,000		600,000		2,000,000		1,200,000
Community-based tourism enterprises	6,132,568	1,533,142	890,835	622,307	12,000,000	3,000,000	1,500,000	1,000,000
<b>TOTAL</b>	<b>216,376,284</b>	<b>110,067,923</b>	<b>10,205,624</b>	<b>5,631,261</b>	<b>720,416,163</b>	<b>328,087,059</b>	<b>32,020,029</b>	<b>42,998,830</b>

*Note on estimates:* Tourism multiplier is 2.0; campsite multiplier is 4.0; hunting multiplier is 1.5; outfitters gross 3 times what they pay in trophy and concession fees; wages are roughly 10% of enterprise turnover; communities should acquire 10% of enterprise turnover in user fees.

## *Annex F*

# **Institutional Development and Capacity Building**

This section provides an overall assessment of the CBNRM program partnership as it is currently functioning in Namibia, examining the *set* of organizations that comprise the institution of CBNRM, and assessing how they are working together to achieve their common goal. See below for some insights on how human resources and other issues within individual organizations are affecting the partnership.

### **Institutional Assessment of the Partnership**

The LIFE program and now NACSO have coordinated an impressive structure of support for CBNRM and communal area conservancy formation in Namibia. Readers will be hard-pressed to find such a cohesive, well-informed, productive partnership for CBNRM in another country. The partner organizations and leaders of this program, from government to NGO, should be proud of the strong institution they have established together, and the results they have been able to achieve in a short eight-year period.

***Achievements*** have been thoroughly documented elsewhere, however a few stood out for the review team, including the fact that partners in the program had/were:

- Cooperating to develop and support implementation of a framework enabling the legal protection of community wildlife use and management;
- Increasing the number of organizations involved in CBNRM from three to eleven;
- Recognizing the need for specialized organizations and either supporting fledgling groups to fulfil that need or inviting new partner organizations into the group;
- Establishing memoranda of understanding between groups to facilitate coordination and the use of each other's services;
- Establishing a model built on having a lead agency in each conservancy, to buffer communities from overlapping involvement of outsiders and to provide them with a secure channel of support;
- At the field level, developing a productive collaboration between NGOs and MET staff, particularly in regions with a long history of CBNRM;
- Every organization recruited to or functioning within the partnership has some impressive capacity, in comparison to similar efforts in other parts of the subcontinent. Each has over a decade of experience and/or solid leadership to contribute, some on conservation issues and some on community development. Most are new to the marriage of conservation and community development that is CBNRM, however they and their partners are striving to bridge that gap;
- Creating a Namibian forum out of the USAID-supported partners of the LIFE program, with membership from government and the NGO sector, and with a strong vision and respected leadership; and
- Perhaps most importantly, facilitating communications between conservancy committees from different areas and providing support to what may be the best hope for sustainability of

CBNRM in Namibia: the emerging regional conservancy associations in Kunene and Caprivi.

**Challenges or gaps** are harder to define; many of those identified by the team have been discussed in previous settings, including the 1998 LIFE evaluation, the October 2000 CAN meeting at Gross Barmen, and the NACSO Vision Report. However we have tried to identify some key issues for the partnership to consider.

Three specific challenges for the future of the partnership include:

## **1. Gap Analysis of Capacity in Key Service Areas**

All the partner organizations are stretched to the limit by the demands for conservancy development coming from the grassroots and seeking ideas for reducing/prioritising demand and/or increasing their efficiency and numbers to meet demand. As a partnership they have not cultivated new sources of capable personnel and in the context of Namibia's critical shortage of educated and experience conservation and community development candidates, this has led to internalisation of demand (i.e., they poach from each other, compete on salaries, and often have positions vacant for long periods without being able to fill them)

Despite the fact that each member of the partnership has some impressive strengths, these are also quite *shallow*, being limited usually to two to three people. Thus our goal was to examine both whether all services were available and resources for strengthening them or filling gaps where they existed. For this assessment, we developed a skills roster for the partnership, including a list of *critical services* (table F1) and a review of the individual programme partners and the strengths and challenges they offer to the partnership (table F2). We worked closely with the NACSO Secretariat and others in developing this roster and hope it will prove useful to them in their own discussions. (As we wrote this, they met again on August 20 to work on some of these issues.)

Table F1 lists the critical services, the organizations currently providing those resources, and additional organizations mentioned to team members during our stay in Namibia as having potential for adding to those resources in future.

At the bottom of the table is a special section on gaps that exist now, may exist after LIFE II closes out, or are due to inconsistent application of services. Following is a brief discussion of the gaps that are institutional/social in nature and may not be fully discussed elsewhere in the report.

**Table F1 Critical Services Supporting the CBNRM Programme**

<b>Critical Services</b>	<b>Current resource organizations</b>	<b>Organization(s) mentioned as having potential in future to provide additional resources</b>
1. Sectoral Planning and Coordination	Namibian Association of CBNRM Support Organizations (NACSO) Secretariat, IRDNC (quarterly planning meetings)	MET, Conservancy Associations, Inter-Ministerial Forum on NRM, Regional Development Coordinating Committees, National Planning Commission
2. Field level Organizing Support to Conservancies	IRDNC, RISE, NDT, NNDF, Rossing Foundation, MET regional and local officers	MET CBNRM unit, Conservancy Associations
3. Grants Management	NNF, WWF/LIFE, IRDNC (informal grants)	EIF, NPC, private firm?
4. National and Conservancy Level CBNRM Monitoring and Evaluation Systems (Includes: natural resource changes, socio-economic impacts, institutional and governance issues)	WWF/LIFE, NNF	All NACSO partners, (especially UNAM?)
5. Applied Research (integrated into point above)	WILD, MET (SSSD), UNAM	DEA Economic unit, Charly Paxton, ECODET (with !NARA, Nicola-PRA), NAPCOD III
6. Management of Wildlife and Other Natural Resources	WWF/LIFE, MET (DRM, SSS, DEA), NNF, IRDNC, RISE, NDT	MET CBNRM unit (largely referrals to DRM, etc.), MAWRD, DOF, DRM, NAPCOD/DRFN
7. Capacity-Building / Community Development Training (Conservancy Awareness and Formation, Financial Management, Community Representation, Personnel Management, etc.)	Rossing Foundation, IRDNC, RISE, NDT, NNF, MET, NACOBTA	MET CBNRM unit, Polytechnic NRM Program, !NARA, Conservancy Associations, WIMSA, NAFEMI (Nam. Fed. of Microfinance), Health Unltd., (other members of NANGOF?), ECODET, NAPCOD, IMLT
8. Community-Based Tourism Training and Outreach	NACOBTA, MET, RF, Pahuka Trust, Gunter Royber, !NARA, IHE, Agrifutura, NATH, Isaskar Hiakere, IRDNC	Polytechnic Tourism Program
9. Legal Support Services	Legal Assistance Center	Private Lawyers?
10. Advocacy and Lobbying	NACSO, LAC	Emerging Conservancy Association(s), CANAM (?), NID (?)
11. Information Sharing and CBNRM Outreach	DEA, NACSO	TBNRM Program?
12. Small/Med. Enterprise Development (Campsites, Crafts, Other)	WWF/LIFE, RF, IRDNC, NDT, NACOBTA	Business Training programs (Polytechnic?), IMLT?

<b>Gaps? Now or Later (when LIFE closes)</b>		
13. Policy Coordination		NACSO Working Group, NPC, Forum, Parliament's Standing Committee. on NR
14. Governance (at conservancy level)		
15. Communications, Conflict Management	IRDNC (?), Rossing	
16. Social Organization/Community Governance, Participatory Development	IRDNC, RISE, NDT	!NARA
17. Gender/Age/Ethnicity/Class Analysis Skills		Social scientist (UNAM?)
18. Benefit Distribution Planning and Implementation	RF, LIFE, IRDNC, RISE, NNDF, NDT (planning)	(implementation)
19. Organizational Assessment (Conservancies and Support Organizations)	LIFE, NNF?, Social scientist (UNAM?)	
20. Trophy Hunting	WWF/LIFE	
21. Large scale Enterprise Development and Negotiation (Lodges/JV, Hunting Concessions)	WWF/LIFE, MET, LAC, IRDNC, NACOBTA	
22. Microcredit Support for Community-based Enterprises		MTI (?), RISE, Other NANGOF Members
23. HIV/AIDS Support to Conservancies and HIV/AIDS Policies within the CBNRM Programme		DEA/NACSO and NNF lead? policy on HIV/AIDS and CBNRM  Partnerships between field organizations (IRDNC, NDT, RISE, Rossing, and MET) and organizations with HIV/AIDS extension mandate (Family Health International, Social Marketing Association, Min. Social Services, health NGOs, etc.).
<i>Source: Adapted from USAID/Namibia, LIFE Mid-term Review TOR, July 2001.</i>		

- *Communications, Facilitation, and Conflict Management:* While training skills in this area is available and in use through IRDNC and the Rossing Foundation, they may be insufficient to meet demand from conservancies in the future. It is suggested that modules for these skills be included in the CBNRM Programme Training Toolbox, and that additional partner organizations be trained to conduct these sessions with communities. See also below on Capacity Building and Training in the Programme.

- *Gender and other Socioeconomic Analysis, Methods for Participatory Development:* In June, the partners identified the need for greater integration of participatory tools in the broader program use. They expressed the fact that although joint ventures will bring in money, they will not be sustainable without a greater basis on social strengths at the community level.

Although these skills exist to a degree within the program, tools to allow communities to carry out their own participatory facilitation are not widely available and are needed.<sup>38</sup>

Partners are moving toward more consistent use of participatory planning and monitoring methods (IRDNC and partners are planning a workshop in October 2001 to focus on developing participatory tools communities can use themselves), and thus the team applauds that move and recommends that the program partners work closely together to integrate the use of these tools into its work with each conservancy. *To balance this increasingly rural development oriented programme's heavy NRM and enterprise development expertise with credible social science expertise, we recommend a strong, experienced social science and gender expert be brought on to the LIFE team for 2 years to serve and coordinate and build capacity on these issues within the partnership.* This person would help to institutionalise the use of relevant data in those areas. They would help answer questions such as "what would it take to integrate participatory approaches and applied research more consistently into the program work with conservancies?" They would help develop tools for community management and monitoring, which may in turn facilitate the conservancy-to-conservancy mentoring approach discussed in the NACSO vision report. They would build on the contribution the WILD project will make, which is to help monitor the impacts CBNRM is making on communities. *It has also been suggested that this kind of person is needed to help continue the use of Institutional Development Profiles and Conservancy Management Profiles and could be tasked with both.*

**Recommendation:** To balance this increasingly rural development oriented programme's heavy NRM and enterprise development expertise with credible social science expertise, we recommend a strong, experienced social science, institutions, and gender expert be brought on to the LIFE team for 2 years to serve and coordinate and build capacity on these issues within the partnership. S/he should be linked with or based in one of the newer organizations to the partnership (RISE or NDT) yet be able to provide technical input to serve the whole national program. This person would help to institutionalise the use of relevant data in those areas. (S/he would not necessarily have to be an expatriate, however there is strong support for someone with extensive experience in the Southern Africa region.)

- *Benefit Distribution Planning and Implementation:* It was strongly noted that although conservancies are required to establish equitable benefit distribution plans, none has yet implemented an equitable (financial) benefit distribution, and revenues from joint ventures

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<sup>38</sup> Gender analysis skills were lacking in certain staff and reporting systems, a gap that would unfortunately (and wrongly?) cause the programme to be labeled as missing a socially appropriate focus, particularly in places where women-headed households, which typically have very different NRM and livelihood strategies, comprise such a high percentage of the population (42% in Caprivi). However the active involvement of women in CRM and CGG (in Kunene) positions and support of income-generation opportunities through crafts activities is laudable. It just doesn't necessarily ensure a *voice* for women because the communities themselves may not have analyzed the gender-based use of resources.

and hunting agreements are not always well accounted for within conservancy financial management systems. (In fact, the capacity building specialist in Caprivi noted that revenues should probably be returned to conservancies only in public meetings where the private sector partner is present.) This issue has the potential to *endanger the entire program* as it raises the visibility of the program before government and seemingly has failed to find equitable methods of implementing benefit distribution. Related to this is the slow pace at which conservancy committees are registering their full adult populations: in Mayuni, 422 out of 1,271 adults are registered; in Salambala 1997 out of 6,144 are registered, after three or four years in existence (IRDNC). Finally, it is useful to relate these plans back to socioeconomic baseline data about the communities and to continue to incorporate non-financial benefits in the planning process. Employment seems to be a higher priority than cash returns to nearly all conservancy members, for example.

**Recommendation:** Build on participatory appraisal plans from communities to create village development plans, and to empower the people to use those to determine and then monitor how benefits are distributed.

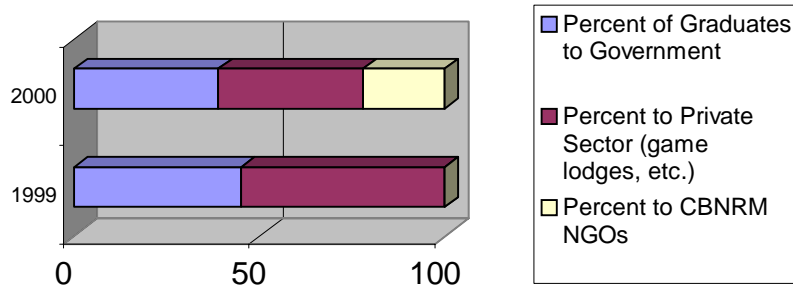
- *Organizational Assessment:* The latest of the LIFE Conservancy Management Profiles and Institutional Development Profiles was completed in May 2001. These were seen as useful but not linked systematically to program planning within the subject organizations. In July, the person tasked with the assessment job completed his contract. He overlapped for one week with another fully employed person on the LIFE staff who is supposed to continue this service, and little or not at all with the NNF person, also fully employed, yet tasked with eventually taking over his work. It is difficult to see how the program will continue to adapt and implement these tools without someone dedicated or at least part time in that position. Table F2 illustrates some of the strengths and challenges faced by individual partner organizations, both through their own assessments and by the team (Note: the team did not conduct in-depth organizational assessments of each partner—this could not be done in a month. Our notes are merely impressions and notes taken from interviews and background reading). This gap will make it more difficult for partners and conservancies to know where to focus their own capacity building efforts and to practice adaptive management.

Related to this issue is the concern of partners on ways to prioritise where to work. Requests for assistance in developing a “screening tool” for new and emerging conservancies make sense, however it also might be worthwhile for partners to explore formal ways to “graduate” older conservancies from outside assistance. There is a danger of dependency on grants and continuing technical assistance if an agreed-upon graduation plan is not developed with each conservancy. Using the Conservancy Management Profiles as a final step might provide a useful measurement for when each committee is ready to graduate.

**Recommendation:** Within the partnership’s planned M&E system, continue periodic use of Institutional Development Profiles and Conservancy Management Profiles as part of a qualified person’s job description, preferably the person referred to in the discussion on gender above. Expand the areas covered to include “strategic planning” and “organizational learning/teamwork/documenting lessons learned”; link the profiles to internal strategic planning processes. Ensure that they can be adaptable as a self-assessment tool as well,

which means including controls to alleviate bias (see Levinger and Bloom undated). The other part of this equation is the need to cultivate closer ties with educational institutions that can provide trained, committed new candidates for positions now unfilled in the program.

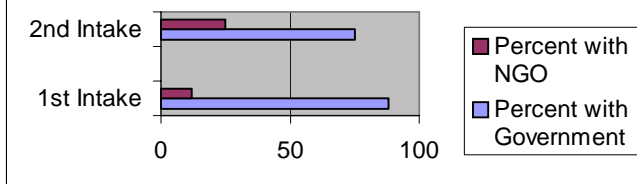
**Figure F1 National Diploma in Nature Conservation: Where Did the Graduates Go?**



Even the most capable organizations have only a few staff members with experience and commitment to CBNRM; most have just two or three. At the moment, most organizations also seem to be seeking qualified applicants for one or more positions in their CBNRM portfolio. Inadequate attention has been given by the program to developing formal linkages with institutions

capable of providing good candidates. The sources of capable new Namibian staff are few, however there are promising signs from the Polytechnic especially (see figures F1 and F2, K. Nott 2001), and UNAM-MRCC to a degree, that given some effort, these can increase as valuable partners in developing new capacity for CBNRM.

**Figure F2 B-Tech Nature Conservation: Where Do Students Work?**



The Polytechnic's NRM Program provides a diploma in conservation and a distance-education bachelor's, called the B-Tech, for more advanced students. Already the program is working with IRDNC on several intensive (one-week) exposure trips to Wereldsend to introduce students to CBNRM. And graduates of both programs are in increasing demand from NGOs and the MET and are themselves expressing great interest in CBNRM.

**Recommendations:** That the program strengthen its formal ties with the Polytechnic NRM program, e.g., that NACSO requests IRDNC, which already has strong connections there, to work with the Polytechnic NRM Program leadership to enhance the program's focus on CBNRM for the benefit of the entire partnership (including in-service in partner organizations, participatory methods training, and socioeconomic development). Increase knowledge of community development organizations and staff, both in Namibia and in other countries in the region, that might prove as resources for the CBNRM program. UNAM may also play an increased role in future if it can organize to develop courses related to CBNRM at some point, and/or organize a broader pool of faculty qualified to provide more consistent research services.



Additional gaps that the partnership should consider (some appear elsewhere in the report) include:

- Cooperation with MET is profoundly lacking, from both NGOs and MET itself. Low morale and lack of proactive coordination and trust vis-à-vis the NGOs involved in CBNRM in Namibia are a symptom of this problem. An example of this state of affairs is the demand from within MET for an external survey of certain conservancies. This issue might be better handled through a collaborative dialogue and information-sharing process between the MET, NGOs, and the tribal authorities in question. MET and the NGO community have the same goal, which is to ensure the widest possible benefits to communities from the sustainable use of wildlife. They should avoid allowing authorities with a narrower focus to derail progress in that regard. The USAID/Namibia program in democracy and governance might also provide useful contributions to this discussion—partners noted that a policy directive is needed stating that the principle of “majority rules” decides such conflicts. Similarly, the NGO community could be more creative and proactive in its cooperation with MET. An example might be—instead of holding meetings where MET involvement is crucial outside the Ministry, working with key ministerial personnel to co-host meetings in MET boardrooms to make it easier for them to attend for the full length of the meeting. This is often done by organizations aiming to improve relations with busy USAID staff in Washington, DC.

**Recommendation:** MET should increase its involvement in NACSO activities even before the CBNRM unit positions are filled by delegating a proxy from DOF or other directorates with similar interest and capacity. Simultaneously, NACSO’s secretariat and members should strongly increase ties to MET Namibian staff (even before and beyond CBNRM Unit). Include them in all field visits, training events, planning sessions, publicity events, etc. Begin outreach to other potential partners in government (e.g., MAWRD, Lands, Fisheries, Parliamentary Committee on NR, etc.).

- The NACSO “visioning” document includes numerous references to “opening the doors” of the CBNRM program in a pro-active way to involve other development sectors and actors in addition to those traditionally linked to conservation. The decision several years ago to seek the involvement of organizations such as NANGOF, NDT and RISE was partly based on a desire to bring in groups with more general rural development experience. Unfortunately, the way these groups have become integrated into the CBNRM partnership has forced them to conform to the pre-existing programmatic approach (wildlife, tourism, natural resource monitoring) rather than having the addition of new organizations and experiences lead to a broadening of the program model.

A number of factors are making it increasingly imperative that the Namibian CBNRM program adopts a broader development vision. First, donor resources for Namibia are declining. It is unlikely that a narrowly focused conservation program will be able to generate the level of funds that have been enjoyed in the past and the incorporation of other sectoral assistance programs will be necessary to provide the conservancy communities the support they need. Secondly, communities themselves are advocating for more integration

between the environment and natural resource focus of the conservancies and the other social, economic and political development needs and opportunities faced by rural Namibians. Kwandu Conservancy in Caprivi and Khoadi-Hoas in Kunene are examples of communities that are requesting support from outside to implement their integrated development vision, which incorporates natural resource management within the broader plan. These two should be models for replication in other conservancies in the program (however the process by which the Kwandu plan was done should be revised to include team members with participatory methods and gender analysis skills).

It is important to note that the team does not feel this would require extensive additional inputs to achieve. Much of the groundwork, i.e., doing broad, development oriented participatory planning in new communities, is already part of the process. It needs to be made consistent, given a credible socioeconomic groundtruthing, and then used as the basis of further work in these communities. These suggestions are provided to help partners visualize how to integrate the NRM work into the framework communities lay in the participatory methods process. WWF/LIFE and the NACSO secretariat have an opportunity to foster and facilitate an expansion of the scope of the CBNRM program. Definite emphasis should be placed on making that shift in support within the coming year, by moving to an improved understanding of the contributions community development organizations can provide to the partnership. In the time remaining, LIFE should draw upon its resources and connections to help transform the internal and external perception of the program from a narrow conservation focus to a broader rural development orientation. A LIFE Phase out Plan should include detailed actions, benchmarks and objectives to accomplish this transformation.

**Recommendation:** Step 1 should be to support conservancies to establish integrated development plans with broad community participation early on in the process, moving to address wildlife and other natural resources once that context is agreed upon. Step 2 should be to begin learning more about what organizations with a community development background can contribute to the CBNRM program. A “strategic alliances” approach, linking each conservation-oriented organization with a community development group for long-term collaboration and mutual learning, is recommended. Step 3 should be to cultivate and incorporate additional organizations with an existing CBNRM program (such as DRFN/NAPCOD) or strong capacity and interest in contributing to CBNRM (such as Polytechnic, NANGOF, etc.) as more active members of NACSO.

- It is understandable that USAID and the LIFE staff want to see rapid advancement and results from large-scale income generating joint ventures and enterprises operating in the conservancies. However, we must emphasize two key realities: first, rural households are in need of small-scale livelihood improvements first, which can prepare them for larger opportunities later. Small influxes of cash at opportune moments in the yearly cycle of survival make a significant difference to poor families and opportunities that provide those on a wide scale, rather than concentrating large amounts in the hands of a few better-equipped families, should be the focus of the program’s enterprise development efforts (e.g., community-managed camps, use of game for biltong sales, use of palm for basket sales, etc.). If the program can build adequate protections into the process of benefit distribution to ensure that happens even with large-scale ventures, then it should continue as is; however it

is yet to be seen whether this can happen. Otherwise, the program should refocus enterprise efforts on small and medium activities that specifically target community ownership and management.

Second, the way in which large-scale ventures are being developed by the program raises a red flag. When LIFE staff take on most of the responsibilities for accomplishing large-scale deals themselves, they are doing a disservice to the communities and to the Namibian support organizations. If Namibian capacity in this area is to be established, Namibian organizations need to take the lead with LIFE providing a nurturing and supporting role. Most importantly, communities themselves need to drive the process. The team heard of several instances where the process was rushed and inadequately consultative, and was also completed without legal review of contracts to ensure the best deal for the community (e.g., in Nyae Nyae, Mashi, and Spitzkoppe). This may slow down the process and mistakes may be made, but in the long run it is the only sustainable route. In the final analysis, it is not the existence of the joint ventures and enterprises alone that will make the CBNRM program successful and sustainable. They are only part of the larger development and empowerment opportunities that the program offers and these larger goals will be more effectively realized if capacity and experiences are gained in the process, and if built on solid, broad support from the community.

**Recommendation:** LIFE staff should move from the front seat to the back seat in carrying out negotiations on the conservancies' enterprise development initiatives. These should be spearheaded by conservancies themselves, with support from Namibian institutions and preparations and back up from LIFE.

- LIFE needs to move away from being directly responsible for a broad range of results in the CBNRM program to making sure that other institutions in the partnership have the capacity to get similar results. One way to make this transformation occur is to physically locate LIFE technical staff members within the offices of the support organizations. The terms of reference for the LIFE staff should also be amended to emphasize mentoring accomplishments rather than direct achievements. Finally, this secondment should be temporary by design so as not to build dependency, and perhaps this could be best accomplished by instituting a rotation system in those instances where specific capacities are being built in more than one organization.

**Recommendation:** Initiate a Phase Out Plan that includes the temporary placement of current LIFE staff in the support institutions that will remain when LIFE closes. Move from “management to mentoring” role, and attach 2 or 3 Namibian counterparts to each LIFE TA position (including those in MET). Agree on reduced “products” and greater “capacity” targets with USAID.

- The DPWM has a fulltime Human Resource Development Advisor supported by LIFE II to assist the directorate to meet such challenges as:
  1. Despite having guidelines on competency for various positions within the directorate, being perceived as operating more within the guidelines of political expediency

2. Addressing a long list of knowledge and skills required by the soon-to-be appointed CBNRM Unit officers. Although it seems that the Polytechnic can be of assistance in addressing some of the training needs for this group, LIFE and NACSO may need to be proactive in helping the HRD and CBNRM Advisors and their counterparts to fill these gaps.
3. Generally, providing strong support for the implementation of HRD strategies and plans during the tenure of the Advisor, who despite an incredibly productive tenure to date, cannot enforce the use of his tools, draft performance management framework, and other contributions.

However, it is clear that more budget needs to be committed within MET to training and capacity building. The current figure of N\$50,000 cannot begin to serve the needs of some 1,000 employees. Finally, it is not clear why, when the HRD Advisor has a relatively short (two-year?) appointment, one of his counterparts was permitted to leave for graduate training and the other resigned and has not been replaced. While graduate education is important, it should be arranged to take place in a different period than when such a resource person is available to provide hands-on training and practice. The directorate should fill the second position and/or appoint replacement counterpart staff immediately so as to utilize the full potential of the advisor's short time in the MET.

- Little will is being applied within the program to document and share lessons learned. The approaches, successes, and impacts of the program are not well understood even by some partners within the program, let alone shared with politically important allies in government, fellow practitioners in other countries, or funders. In addition, little interaction with those fellow practitioners is leading to "inside-the-box" thinking within the program, due to the excuse of time focused on implementation. This can lead to decreased capacity to grow and adapt as program needs change.

**Recommendation:** Incorporate time and budget into workplans to conduct objective, applied research and to document and share lessons learned.

- The CBNRM program has matured into a national program and the factors that previously limited WWF/LIFE and USAID actions to specific geographic regions of the country are no longer valid. In the context of a plan to phase out and hand over responsibilities to national organizations operating throughout the country, it no longer makes sense to financially and technically favour specific projects over others. It seems unfair that the traditionally supported conservancies and support organizations should receive grants many times larger than those received by new entrants to the program, particularly when it is the new entrants who may need the assistance more than the long involved organizations.

**Recommendation:** Remove the WWF/LIFE and USAID funding bias that emphasizes and disproportionately supports CBNRM efforts in Caprivi and the Nyae Nyae area.

See table F2 for a detailed breakdown on the partner organizations within the CBNRM programme and the strengths and challenges they face.

**Table F2 Partners in the CBNRM Programme: Roles, Strengths and Challenges**

Partner Organization	From the NACSO Vision Report and Self-Assessments			Impressions from the LIFE Review Team	
	Roles*	Strengths**	Challenges**	Strengths	Challenges
<b>MET (Dept. of NRM)</b>	<ul style="list-style-type: none"> <li>Coordinate between directorates responsible for NRM</li> </ul>	N/A	N/A	<ul style="list-style-type: none"> <li>Can coordinate between NR directorates – planning workshop to identify roles of directorates and methods for coordinating their work (plan to include Tourism too). Conduct integrated planning workshops.</li> <li>Can request representation of all NR directorates to NACSO and Technical Committee within MET/ subcommittee on CBNRM</li> <li>Can improve two-way information flow between HQ and MET field officers—continue 2-day workshops with all Chief Control Wardens on policy discussions regularly</li> <li>Proactive on decentralization?</li> </ul>	<ul style="list-style-type: none"> <li>Strengthen focus on additional NR, not only wildlife</li> <li>Legal conflicts over MET policy implementation practice</li> <li>Strengthen coordination with DOT</li> <li>Strengthen inter-ministerial and donor coordination</li> <li>Publicize economic achievements and potential of program</li> <li>Implementing re-organized structures</li> <li>Fill vacancies, retain existing expertise, reduce turnover</li> <li>Encourage MET to implement HRD/Training improvements (training needs assessment – 1994, merge units, move unit higher up, expand training budget, effective use of well-trained personnel, professional technical standards for positions, establishing policies and procedures for decision-making, etc.)</li> <li>Support continued role of technical experts (even if not Namibian) where needed</li> </ul>

Partner Organization	From the NACSO Vision Report and Self-Assessments			Impressions from the LIFE Review Team	
	Roles*	Strengths**	Challenges**	Strengths	Challenges
<b>MET (DEA)</b>	<ul style="list-style-type: none"> <li>Policy/legal framework, research, information dissemination, linking CBNRM programme to others e.g., NAPCOD and WILD, EIA</li> </ul>	<ul style="list-style-type: none"> <li>Behind scenes support (e.g., PTOs)</li> <li>Government/outside employee mix</li> <li>Broad approach ??</li> <li>15% budget, 17% staff on CBNRM</li> </ul>	<ul style="list-style-type: none"> <li>Institutional constraints—partners in MET</li> </ul>	<ul style="list-style-type: none"> <li>History of strong policy development</li> </ul>	<ul style="list-style-type: none"> <li>Capitalize on linkages between CBNRM, desertification control, biodiversity conservation and environmental assessment</li> <li>Focus information dissemination about CBNRM on socioeconomic gains and potential</li> <li>Target Parliament, private sector</li> <li>No field presence, must coordinate with DRM</li> <li>Publicity program having impact? Should focus on other NR and development to start changing perceptions of program.</li> </ul>
<b>MET (DPWM, ex-DRM)</b>	<ul style="list-style-type: none"> <li>Wildlife and protected area management, parks/neighbours facilitation, CBNRM policy framework implementation, community liaison and liaison with other NRM agencies in field, conservancy registration, training conservancy in wildlife management/monitoring, ltd. financial support, quota setting, part. in conservancy wildlife management committees, game translocation, conflict resolution, international liaison</li> </ul>	<ul style="list-style-type: none"> <li>Mandate to lead on policy/legislative issues</li> </ul>	<ul style="list-style-type: none"> <li>Unclear understanding of concepts to implement and coordinate CBNRM programme</li> <li>Human/financial capacity</li> </ul>	<ul style="list-style-type: none"> <li>Forthcoming CBNRM Unit—points of contact in MET and 29 field officers</li> <li>Assuming conservancy program management responsibility within MET</li> <li>New certificate programs at Polytechnic designed specifically for staff needs</li> <li>Plans for community-based tourism officer/cooperation with NACOBTA and CBNRM unit</li> </ul>	<ul style="list-style-type: none"> <li>Declining field capacities for parks management, other positions</li> <li>Need for strategic planning</li> <li>Huge field staff to coordinate and build capacity</li> <li>How to strengthen intra-ministerial coordination on CBNRM?</li> <li>Land ownership and tenure status of conservancies</li> <li>Training CBNRM Unit officers in range of skills needed (NRM skills, participatory development, conservancy formation, constitutional development, facilitation and conflict management, etc.). Manual (NACSO Training Toolbox?) to accompany?</li> <li>Implement HRD improvements (training plan, strategic planning, performance management framework, etc.)</li> </ul>

Partner Organization	From the NACSO Vision Report and Self-Assessments			Impressions from the LIFE Review Team	
	Roles*	Strengths**	Challenges**	Strengths	Challenges
<b>MET (DOF)</b>	<ul style="list-style-type: none"> <li>Forestry services to conservancy, remote sensing, community liaison and extension, support to community forestry</li> </ul>	<ul style="list-style-type: none"> <li>Strategic frameworks, performance/management systems</li> <li>Approx. 30% of budget, 4% of staff, for CBNRM</li> </ul>	<ul style="list-style-type: none"> <li>No standard CBNRM approaches</li> <li>Learning curve flat and long</li> <li>Hard to attract best staff to CBNRM</li> <li>Entrepreneurial skills (for CBOs)</li> <li>Diversification of income gen. skills</li> </ul>	<ul style="list-style-type: none"> <li>Have ongoing CBNRM projects</li> <li>Have extension staff in field</li> <li>Interested in collaboration</li> </ul>	<ul style="list-style-type: none"> <li>Legislation provides for parallel organization of community forestry management</li> </ul>
<b>MET (DSS)</b>	<ul style="list-style-type: none"> <li>Management plans, scientific advice and support</li> </ul>	N/A	N/A	<ul style="list-style-type: none"> <li>Repository of research capacity and scientific expertise</li> </ul>	<ul style="list-style-type: none"> <li>Little information sharing between directorates unless requested</li> <li>Just lost top two people, high quality</li> </ul>
<b>MET (DOT)</b>	<ul style="list-style-type: none"> <li>Community-based tourism policy formulation, concessions and PTO recommendations, tourism statistics, marketing, tourism support to conservancies</li> </ul>	N/A	N/A	<ul style="list-style-type: none"> <li>Good working relationship with NACOBTA</li> <li>Hiring two community-based tourism officers to coordinate with new CBNRM Unit team in DRM</li> </ul>	<ul style="list-style-type: none"> <li>Strengthen initiatives to capture huge potential growth in tourism</li> <li>Build up staff numbers and qualifications</li> <li>Strengthen intra-ministerial coordination on CBNRM</li> </ul>

Partner Organization	From the NACSO Vision Report and Self-Assessments			Impressions from the LIFE Review Team	
	Roles*	Strengths**	Challenges**	Strengths	Challenges
<b>NACSO Secretariat</b>	<ul style="list-style-type: none"> <li>• Taking over LIFE role of strategic planning/ coordination for national programme</li> </ul>	<ul style="list-style-type: none"> <li>• Commitment and belief of partners to principles of program and to working together</li> </ul>	<ul style="list-style-type: none"> <li>• Human resources (numbers) for secretariat</li> <li>• Commitment to action in working groups difficult since relying on people not accountable to secretariat</li> </ul>	<ul style="list-style-type: none"> <li>• Strong, well-respected, experienced leadership</li> <li>• Effective partnership coordination</li> <li>• Can help individual partners look “outside the box” for additional partners (smaller NGOs, private sector, etc.), broader rural development experience, etc.</li> <li>• Lean and mean</li> </ul>	<ul style="list-style-type: none"> <li>• Strengthen creative involvement of MET and other ministries</li> <li>• Strengthen advocacy, planning and coordination for whole CBNRM sector</li> <li>• Working group model gives members <i>two</i> jobs—activities for NACSO must be priority for home institutions as well</li> <li>• Balance between need for “association” v. implementation (housing specialized officers, etc.)</li> <li>• Staying neutral in dialogue between government and NGO sectors</li> <li>• Supporting Conservancy association formation</li> <li>• Sustainable funding for secretariat?</li> </ul>
<b>WWF/ LIFE</b>	<ul style="list-style-type: none"> <li>• Technical assistance, funding, grants management, capacity building, strategic planning/ coordination for national programme</li> </ul>	<ul style="list-style-type: none"> <li>• Good planning, technical skills</li> <li>• Ability to get external funds</li> <li>• Regional and int’l perspective</li> </ul>	<ul style="list-style-type: none"> <li>• Everywhere</li> <li>• People with NRM and planning skills</li> <li>• People with savvy negotiation skills</li> </ul>	<ul style="list-style-type: none"> <li>• Respected and utilized leadership and technical assistance</li> <li>• Grants management flexibility</li> <li>• Support to MET for coordination and trainings</li> </ul>	<ul style="list-style-type: none"> <li>• Maintain support for capacity building, socioeconomic, and organizational assessment/ monitoring consistently—coordinate beyond LIFE grantees</li> <li>• Ensure that emphasis on large-scale enterprise development is grounded in community demand (as opposed to local control over rural development and small -medium enterprises) not outside interests</li> <li>• Move lead on work to Namibian organizations and provide support</li> <li>• Ensure joint venture agreements get legal review before signed</li> </ul>



Partner Organization	From the NACSO Vision Report and Self-Assessments			Impressions from the LIFE Review Team	
	Roles*	Strengths**	Challenges**	Strengths	Challenges
<b>IRDNC</b>	<ul style="list-style-type: none"> <li>Logistics, institution-building, NR monitoring, development of community campsites/villages, support in JV negotiations, support for organizational development of conservancies</li> </ul>	<ul style="list-style-type: none"> <li>Field experience</li> <li>Flexibility</li> <li>Good rep./track record (walk the talk)</li> <li>100 % budget for CBNRM</li> </ul>	<ul style="list-style-type: none"> <li>Lack of GRN coordination and understanding</li> <li>MET inertia to implement policy</li> <li>Different interpretations (?)</li> <li>Field-based facilitators</li> <li>Linkages with regional structures</li> <li>GRN resources for staff and greater allocations for tourism</li> </ul>	<ul style="list-style-type: none"> <li>Strong experience in CBNRM and understanding of rural systems</li> <li>Committed, capable staff</li> <li>Building capacity in communities and hiring as staff</li> <li>Quarterly planning meetings and support for conservancy associations</li> <li>Linkages with Polytechnic NRM program</li> <li>Support for women's involvement and family income-generation (crafts)</li> <li>Good outreach through radio</li> </ul>	<ul style="list-style-type: none"> <li>Balance between conservation and rural development</li> <li>Strengthen socio-economic expertise, esp. gender analysis, for Kunene and Caprivi</li> <li>Facilitate sub-conservancy units?</li> <li>Facilitate formal (i.e., strong) conservancy association in Caprivi</li> <li>Document lessons learned</li> <li>Strengthen capacity-building in Caprivi</li> <li>Address non-wildlife problems—palm gardens in Caprivi?</li> <li>Sustainability of transport?</li> </ul>
<b>Rossing Foundation</b>	<ul style="list-style-type: none"> <li>Training to broader CBNRM community (including NGOs, government, and conservancy committees), crafts development and marketing and field facilitation in target areas (Nyae Nyae and N-C)</li> </ul>	<ul style="list-style-type: none"> <li>Ability to do training</li> <li>Rural development at community level</li> <li>CBNRM budget 35-40%, staff 15%</li> </ul>	<ul style="list-style-type: none"> <li>Human capacity</li> <li>Financial resources</li> </ul>	<ul style="list-style-type: none"> <li>23 Years' experience</li> <li>Training ability</li> <li>Scholarship program</li> <li>Hire LIFE Namibian staff</li> <li>Potential to influence national program through N-C work</li> <li>Crafts development and marketing</li> </ul>	<ul style="list-style-type: none"> <li>Revise training approach to consolidate, train trainers only, recruit additional organizations to do direct training</li> <li>Recent loss of good training staff</li> <li>M&amp;E work to integrate closely with other CBNRM implementers</li> <li>Outsource crafts marketing? Find private sector partners with experience rather than build wheel twice?</li> <li>Sustainable funding?</li> <li>Ensure NRM experts involved</li> </ul>

Partner Organization	From the NACSO Vision Report and Self-Assessments			Impressions from the LIFE Review Team	
	Roles*	Strengths**	Challenges**	Strengths	Challenges
<b>RISE</b>	<ul style="list-style-type: none"> <li>Field support to conservancy in southern Kunene and Erongo</li> </ul>	N/A	N/A	<ul style="list-style-type: none"> <li>Community development experience, savings and microcredit, water users associations</li> <li>Relationships with farmers unions, groups</li> <li>Four staff in South, five in North, four in Erongo, three in Windhoek</li> </ul>	<ul style="list-style-type: none"> <li>Focus on deepening community development skills, less expansion to new areas - pull in high-level NRM and other expertise as needed</li> <li>Partnership approach</li> <li>Ensure responsiveness to communities (e.g., present survey findings back to them, provide conflict management training, etc.)</li> <li>Sustainable funding?</li> </ul>
<b>NNF</b>	<ul style="list-style-type: none"> <li>National level support to NGOs and CBOs through grants management, fundraising, M&amp;E, NR monitoring, project formulation and proposal development</li> </ul>	<ul style="list-style-type: none"> <li>Training and capacity building</li> <li>Financial/funds management and grant making</li> <li>Wide perspective/broad responsibilities w/in env't sector, links to donors, etc.</li> <li>CBNRM budget 28%, staff 36%</li> </ul>	<ul style="list-style-type: none"> <li>More technical people to support conserv. for sector</li> <li>Training of technical personnel at all levels for sector</li> <li>Financial needs for sector</li> </ul>	<ul style="list-style-type: none"> <li>Grants management</li> <li>Commitment to CBNRM</li> <li>Efforts at affirmative action/integration and capacity-building within staff/board</li> <li>Wide range of partners</li> </ul>	<ul style="list-style-type: none"> <li>Strengthen capacity building for NGO community on financial management</li> <li>Avoiding "donor" role</li> <li>Overly diverse? Staff stretched (three-four technical staff for wide-ranging program)</li> <li>Strengthen M&amp;E and socioeconomic analytic skills</li> <li>[From the IDP] Participatory management and team building, staff retention</li> </ul>

Partner Organization	From the NACSO Vision Report and Self-Assessments			Impressions from the LIFE Review Team	
	Roles*	Strengths**	Challenges**	Strengths	Challenges
<b>NDT</b>	<ul style="list-style-type: none"> <li>• Support to conservancies in southern Namibia</li> </ul>	<ul style="list-style-type: none"> <li>• Well-established organization</li> <li>• Good grassroots contacts/skills</li> <li>• Budget for CBNRM 40%, staff 50%</li> </ul>	<ul style="list-style-type: none"> <li>• Expertise in NRM/ENV</li> <li>• Human resource capacity</li> <li>• Resources</li> <li>• Environmental experts (human resources)</li> <li>• Tourism sites (financial resources)</li> <li>• Land use planners (HR)</li> </ul>	<ul style="list-style-type: none"> <li>• Community development, cooperatives, experience (11 years)</li> <li>• Extensive PRA experience, community theatre, etc.</li> <li>• Experience with HIV/AIDS impacts on rural areas</li> <li>• 3 staff persons on CBNRM (2 in field, 2 half-time in Windhoek)</li> <li>• Working with existing institution (water users' groups) in South</li> <li>• Good networking skills—beyond conservation community</li> <li>• Support from outside donor (Oxfam affiliate), recent 6-month extension, also USAID/WID.</li> <li>• Contacts in NAPCOD/DRFN</li> </ul>	<ul style="list-style-type: none"> <li>• Strengthen number of staff with good capacities</li> <li>• Building sustainable funding base—not in LIFE target area</li> <li>• South not strong wildlife area—other attractions?</li> <li>• Focus on deepening existing strengths not expanding to new areas yet</li> <li>• Follow up on discussion of alliance with conservation group—staff “swap” idea.</li> <li>• Ensure NRM experts involved</li> </ul>
<b>NNDF</b>	<ul style="list-style-type: none"> <li>• Training and capacity building support to Nyae Nyae Conservancy and Farmers' Cooperative</li> </ul>	<ul style="list-style-type: none"> <li>• Small organization</li> <li>• Close relationship/intimate knowledge of target group</li> <li>• CBNRM budget 43% staff 29%</li> </ul>	<ul style="list-style-type: none"> <li>• Lack of technical staff</li> <li>• Lack of management capacity with conserv.</li> <li>• Additional human and financial resources</li> <li>• Diversification of income</li> </ul>	<ul style="list-style-type: none"> <li>• Mentoring conservancy</li> </ul>	<ul style="list-style-type: none"> <li>• Sustainable funding?</li> <li>• Strengthen financial management</li> </ul>

Partner Organization	From the NACSO Vision Report and Self-Assessments			Impressions from the LIFE Review Team	
	Roles*	Strengths**	Challenges**	Strengths	Challenges
<b>NACOBTA</b>	<ul style="list-style-type: none"> <li>• Training and capacity building in development of CBTEs throughout Nam., promotion of CBT, marketing, advice on negotiating JV</li> </ul>	<ul style="list-style-type: none"> <li>• Skills in product development and planning</li> <li>• Training and marketing</li> <li>• Linkages with related organizations in Uganda, RSA, Bots., Zimb.</li> <li>• CBNRM budget about 50% staff 86%</li> </ul>	<ul style="list-style-type: none"> <li>• Resources</li> <li>• Technical skills in tourism/biz. development</li> <li>• Stronger support from partners/better coord.</li> <li>• Increased resource base</li> <li>• Human and fin. resources to increase community awareness</li> </ul>	<ul style="list-style-type: none"> <li>• Strong roster of training partners and outsourced work</li> <li>• Large portfolio of enterprises under development</li> <li>• Good contacts and outreach to private sector, tourism industry, international counterparts</li> <li>• Experience from NW Tourism Master Plan</li> <li>• Raising own funds from diversified sources</li> <li>• Supporting studies of industry</li> <li>• 13 staff with coordinators for business and training, 3 in N-C region</li> <li>• Strong management committee</li> <li>• Web site, other information sharing tools</li> </ul>	<ul style="list-style-type: none"> <li>• Strengthen training dept. to alleviate over work</li> <li>• Utilize TOT methods for conservancy business development</li> <li>• Focus on capacity building in CBTEs (esp. for conservancies), not management of enterprises</li> <li>• More personnel for South?</li> <li>• Strengthen fee-for-service and membership fee approach</li> <li>• Monitoring for impacts on communities?</li> <li>• Focus on community-managed enterprises</li> <li>• Struggle with bureaucracy and banking sector to get loans for community enterprises</li> <li>• Dealing with conservative tourism industry</li> </ul>

Partner Organization	From the NACSO Vision Report and Self-Assessments			Impressions from the LIFE Review Team	
	Roles*	Strengths**	Challenges**	Strengths	Challenges
<b>LAC</b>	<ul style="list-style-type: none"> <li>Legal assistance and advice to programme and to comm's, education and training on legal issues, advocacy and lobbying support, litigation on behalf of comm's and NACSO members</li> </ul>	<ul style="list-style-type: none"> <li>Reputation as independent body listened to by government and NGOs</li> <li>Not involved in daily politics of CBNRM</li> <li>Experience in litigating for large communities not just individuals</li> <li>Not just technical legal assistance also issues of justice and marginalisation</li> <li>CBNRM budget 70% (of LED program or total?), staff 7%</li> </ul>	<ul style="list-style-type: none"> <li>Human resources ltd.</li> <li>Difficult to find experienced people in this work</li> </ul>	<ul style="list-style-type: none"> <li>Commitment to and expertise in legal support for CBNRM</li> <li>Involvement since 1992</li> <li>Research on common property rights in Southern Africa</li> <li>Land, Environment and Development program focus on CBNRM – with outside funding</li> <li>4.5 people</li> </ul>	<ul style="list-style-type: none"> <li>Outsource routine activities to others in legal community? Recruit/train other resource firms/groups</li> <li>Consider legal/CBNRM internships for law students w/in SADC</li> <li>Ensure staff have enough support to address demand for services</li> </ul>
<b>UNAM-MRCC</b>	<ul style="list-style-type: none"> <li>Socioeconomic surveys as commissioned by partners</li> </ul>	<ul style="list-style-type: none"> <li>Management, project execution, quality output</li> <li>Human and material resources</li> <li>CBNRM staff 15%</li> </ul>	<ul style="list-style-type: none"> <li>Finances</li> <li>Transport, computer, human resources</li> <li>Mgt-level and fin. admin. human resources</li> <li>Capacity building field workers</li> <li>Adequate logistical resources</li> </ul>	<ul style="list-style-type: none"> <li>Socioeconomic analysis, organizational assessment, research skills</li> </ul>	<ul style="list-style-type: none"> <li>Submit concrete proposals to NACSO partnership for UNAM role and ensure follow up</li> <li>Consolidate interested faculty within UNAM as CBNRM team, focus on improving skills in gender analysis, rural economic development, community development, etc.</li> <li>Raise outside funding</li> </ul>

Partner Organization	From the NACSO Vision Report and Self-Assessments			Impressions from the LIFE Review Team	
	Roles*	Strengths**	Challenges**	Strengths	Challenges
NANGOF	<ul style="list-style-type: none"> <li>Promote CBNRM within NGO sector and act as a link for NACSO to broader community. Support policy development and information dissemination on CBNRM, promote policy research.</li> </ul>	<ul style="list-style-type: none"> <li>Recently strengthened organizational mission which enabled them to mobilize members</li> <li>Work on policy, networking, strong executive cmte.</li> </ul>	<ul style="list-style-type: none"> <li>Human capacity</li> <li>Exposure to CBNRM is low</li> </ul>	<ul style="list-style-type: none"> <li>Links to broader NGO sector, advocacy experience</li> <li>History in supporting CBNRM advocacy/organization</li> </ul>	<ul style="list-style-type: none"> <li>Strengthen on NRM</li> <li>Raise funds for CBNRM</li> </ul>

\* Source: Annex 4. Specific Roles and Responsibilities of NACSO Members, Development of a Five-Year Strategic Vision for CBNRM in Namibia, July 2001 (Identified at August 1998 national programme planning workshop).

\*\* Source (for Strengths and Challenges): Self-assessment Questionnaires, Development of a Five-Year Strategic Vision for CBNRM in Namibia, July 2001

## 2. Capacity Building and Training Approaches

### *Consistency and Focus*

Capacity building in the program consists largely of training and expert mentoring of Namibian counterparts and organizations. Extensive effort and budget goes into direct training for conservancy committees. While the former seems to have been effective for NGO and MET partners, training for communities as it is currently implemented in the program seems inefficient and may drain the over-stretched staff. Although training is a critical component of institutional capacity building, it is vital that skills acquired through training are put into practice as soon and as intensively as possible if they are to stay with the individuals and serve the organization. This method can add cost in initial stages, but the return on investment can be impressive. Rossing's course in community development facilitation provided a successful example of this approach.

Capacity building approaches for the program's conservancy work could benefit greatly from two additional considerations. First, as the NRM "knees" team has pulled together the contact persons on NRM to work together and coordinate across the program, it would be helpful for the point persons on capacity building and social/economic information in each field organization to meet and work together on each other's programs and in trainings on a regular basis. Second, as noted in the LIFE Evaluation of 1998 and still not tightly followed, community based organizations need checks and balances to ensure accountability. The committees the team visited were apparently doing well (most) in managing their grant funds, yet some were not as clear on joint venture and hunting revenue accounts, few had posted their constitutions for all to see, only one had posted photos of the committee representatives and their roles, none that we saw had posted minutes of their recent meetings, and only two had regular mechanisms for communication and listening to the broader conservancy body about each meeting's decisions. Although Namibia has fairly positive literacy statistics, it was not clear how literate these particular communities were in any case, and although asked, no committees had plans to establish broader training in literacy to ensure wider comprehension and use of conservancy information, which would have been a useful indicator of democratic capacity being built.

### *Coping with programme expansion*

Table F3 shows that some 10,000 days of training effort were provided by LIFE. In the first few years, training was targeted toward developing the capacity of personnel in NGOs and MET, while more recently considerable effort has been targeted towards communities.

**Table F3 Summary of Training Effort**

	Number of Courses Held	Training Days	NGO / MET Participants	CBO Participants
1993	2	110	20	
1994	12	46	105	28
1995	18	804	110	45
1996	19	1,286	142	254
1997	11	673	20	87
1998	2	4,073	58	287
1999	51	3,219	33	652
<b>Total</b>	<b>115</b>	<b>10,211</b>	<b>488</b>	<b>1,353</b>

Source: LIFE I report.

Table F4 shows a wide spread of training by subject matter, with a substantial effort to train communities in small-scale tourism and in natural resource monitoring in 1998 and 1999. There are two additional points of interest. The balance of training supports the conclusion that the programme is much stronger on resource monitoring than on institutional development. If the number of courses is multiplied by the number of attendants, this conclusion is amplified. It is also somewhat surprising that, given the increasing demand for training, most training has been targeted directly at communities with relatively limited training of trainers, a strategy that is effective at start-up when building relationships with community leaders is important, but which is less efficient once the demand for training services increases.

**Table F4 Summary of Training Supported by LIFE**

	1993	1994	1995	1996	1997	1998	1999	Total
<b>Subject covered by training</b>								
Ecology	2	1		1	1	3		8
CBNRM/Social science		3	3	2	1	4	2	15
Admin, finance, grants		3	5	1	2	1	2	14
CCG/CRM		3			2	2	16	23
Institutional, managerial		3	2	5	3	5	5	23
JV Tourism		1		6		1	7	15
Campsites, guides, tourism				1	1	15	17	34
Crafts			2	2		1		5
Technical			5		1	1		7
<b>Application of Training</b>								
Workshops, NGO/MET training	2	3	6	3	4	6	6	30
Training of trainers		2		1		4	1	8
Direct training of community		7	11	14	7	23	44	106

The preceding two paragraphs represent a crude input analysis at the level of project activities. The success of the programme is becoming rapidly evident in high-level objectives (development objective and project purpose), with increasing wildlife populations and the demand for conservancy formation being useful indicators. This leaves three questions: How effective is the training as measured at the level of output? How efficient are the input delivery systems? Is the right training being provided?

**Recommendations:** LIFE staff should focus on mentoring and moving out of management—begin by attaching two to three counterpart staff to each TA. The partnership should organize its conservancy capacity building “team” to work together and fulfil its mission more completely. NACSO should establish a Training Working Group to examine the efficiency and costs of the current training paradigm.

The model used for training, monitoring and facilitation is based on direct contact between support personnel and communities, with the latter usually being based in Windhoek or a field centre. So far this has been effective as measured by high-level indicators. We need, however, to assess whether it is efficient, especially as the programme scope expands and the budget does



not, and as methodologies (e.g., monitoring of natural resources) solidify and less experimentation is required<sup>39</sup>.

### *Tools and materials*

MET and other NACSO partners should prepare a series of training modules (part of or expanding on their Training Toolboxes?) aimed at the provision of technical guidance and capacity building for the priority tasks related to CBNRM planning. This would allow for CBNRM Unit officers and/or community-based “activators” to take over work with the communities during the pre-registration phase of conservancy development (except for participatory methods and other participatory planning/research efforts, which would need outside involvement by experts in participatory method use for at least the first few years). This would also then allow the overstretched NGO community to focus on the more advanced, post-registration activities and capacity building efforts with conservancies.

In a number of areas that have not received sufficient attention to date by the programme (business planning, enterprise development, market surveys, marketing, accessing and managing rural credit, socioeconomic analysis, rural development planning and implementation, participatory appraisal/extension methods, coping with HIV/AIDS, etc.) the partnership should be more proactive in seeking out expertise in the private sector and among other rural development organizations (i.e. not just look to current NACSO members).

These second stage CBNRM planning elements (and training modules) could, for example:

1. Identify specific management objectives and timeframes for steps needed to ensure sustainable use and to support the adoption of improved NRM practices in designated areas (second and more detailed level of land use planning, linked to the identification of appropriate NRM practices and other parameters for sustainable use)
2. Incorporate economic analysis of resource use and management options
3. Provide for the adoption of procedures and locally enforceable regulations to guide NR use
4. Provide more details about expanded level of communication, extension, outreach and monitoring (patrolling) to control use, promote improved NRM and manage higher or more intensive levels of resource use
5. Plan for more detailed resource inventories, as needed, to establish baselines for sustainable use
6. Provide more details about timetable and allocation of permissible levels of use, harvesting or utilization plans, terms of agreements for proposed hunting concessions, etc.
7. Include plans for regeneration, restocking or other activities designed to ensure sustained yield or increase resource productivity

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<sup>39</sup> In the time available, it is only possible to test one data-point (East Caprivi) against one benchmark (CBNRM in Luangwa Valley). This crude comparison shows that the Luangwa system is ten-fold cheaper than East Caprivi. Luangwa is much stronger on community institution building and financial management, is similar in terms of anti-poaching, does less resource monitoring only counting wildlife once annually, and supports a similar number of community businesses. Luangwa’s innovation is the placement of a community facilitator in each Conservancy. This is cheap. It is also effective, provided the facilitators are regularly supported, debriefed and re-skilled. The facilitators provide a high quality of on-going support, follow-up and monitoring of community progress and performance (committees, participation, projects, financial management, auditing, institutional training, conflict resolution, etc.) and being closely in touch with their communities and able to address challenges proactively.

8. Provide more detailed provisions for monitoring and reporting on natural resource condition and trend (periodic game counts, provision for data collection on indicator species, additional resource inventories, etc.)
9. Development of additional plans for longer term investments, including joint ventures for camps, lodges, water points, etc.
10. More detailed and specific plans for benefit distribution

**Overall Capacity Building Program Recommendations:** LIFE staff should focus on mentoring and moving out of management—begin by attaching two to three counterpart staff to each TA. NACSO should establish a Training Working Group to examine the efficiency and costs of the current training paradigm. If appropriate, revise the training approach to focus on training of trainers, consolidation (practice once trained), networking (to continue learning), and follow up (to share learning further within home organization). Examine NACOBTA's model (which recently received a positive evaluation) for lessons that can be shared more broadly within the partnership. Invest in recruitment of training capacity outside the core NACSO member organizations, for example using INARA to train NGO staff and MET CBNRM unit staff in participatory methods. Experiment with preparing an activators task force (2-3 people?) in each conservancy to conduct all pre-registration training, and using them to work in nearby emerging conservancies after their own is registered. Invest the LOE and budget to complete the current toolbox and establish a second phase toolbox.

### 3. Collaboration Mechanisms

The partnership is coordinated now through regular planning and feedback meetings, a planning calendar, and memoranda of understanding between groups working together in target areas. They do not yet maintain a skills roster to refer to for specialized needs. There are reportedly also difficulties with the meetings, in that they do not provide sufficient time to discuss and share learning on thematic issues. Finally, the memoranda of understanding were adequate between partners when they were all being supported by grants through the LIFE program and did not need to exchange funds to draw upon each other's services. Gradually, however, they seem to be eroding in power in certain instances, where the agreements have been too weak to ensure coordination and have not prevented confusion on the part of the community.

**Recommendations:** It is suggested that the secretariat establish a simple information-sharing program to inform and coordinate with members and others more frequently, perhaps through a bi-weekly e-mail news bulletin, web site, and outreach to other nation's CBNRM programs. Periodic contributions by each partner to the NRM Tracker ([www.nrmtracker.org](http://www.nrmtracker.org)), maintained by USAID's Africa Bureau in Washington, DC, would be one simple way of ensuring that the world knows about the progress being made by Namibia's CBNRM program.

MOUs can be strengthened by increasing the specificity of agreement timetables and requiring that they be reported by all parties at NACSO members' meetings. It is suggested that members experiment with fee-based contracting to coordinate collaborative efforts in target areas, and with strategic alliances between conservation and community development organizations that work together in multiple areas. Both have been considered by various members of the partnership and should be followed up on. It would also help to designate roles more clearly in the partnership, and allow each organization to focus on strengthening its specialty.

## A Final Note

Institutional assessment versus organizational assessment: It is useful, though difficult to keep in mind the distinction here. Institutional assessment means looking at the set of organizations that comprise the CBNRM sector in Namibia, and assessing how they are working together to achieve their common goal. Organizational assessment means examining the individual groups that make up the CBNRM sector. In this review, we have only gathered organizational information where it seemed that an individual organization's capacity might affect the sustainability of the whole sector.

Capacity building: In our review of the Namibia CBNRM program, it was frequently stated that many of the Namibian institutions involved lack the experience and the capacity to provide necessary services and undertake the quantity or magnitude of activities demanded by the emerging conservancies. The need to "build capacity" is the mantra of the movement. Unfortunately, there is also a tendency to equate capacity building with training. It is crucial to remember that although training is a critical component of institutional capacity building, it is not synonymous with institutional development or by itself sufficient to achieve capacity building objectives. It is vital that skills acquired through training are put into practice as soon and as intensively as possible if they are to stay with the individuals and serve the organization. Experience has shown that personnel training, plus organizational inputs such as equipment, and combined with gradual increases in responsibility and accountability for specific tasks is one of the most effective approaches to build institutional capacity. This method can be very time- and labour-intensive, but the return on investment can be impressive.

Since capacity building is integral to development success and sustainability, it is crucial to design programs with local institutional capacity building objectives in addition to development results and impact objectives. There is also widespread agreement that these two types of objectives are, in fact, fully entwined. Achieving positive results is a key indicator of institutional capacity building and demonstrated success in building capacity is a very significant development impact. But measuring progress in capacity building requires more than just tracking numbers of people or economic statistics and while indicators of this type have grown steadily more sophisticated and reliable, the refinement of indicators needed to assess advances in institutional capacity has lagged behind.

There is a tendency in some capacity-building programs to overwhelm fledgling organizations with funds or demands once they have proven themselves capable on a previous activity. This is in contrast to the catch-22 situation that many small, local NGOs find themselves in—where they can't build capacity because no one will work with them because of their limited capacity.

Finally, the perceived role and objectives of intermediary organizations, such as international NGOs or capital-city NGOs working with community organizations, play an extremely important part in the success or failure of capacity building programs. If the intermediary organizations see the smaller, local NGOs as potential competitors rather than eventual replacements, they will be less likely to transfer all of the skills and responsibility needed to bring the developing organization to its full potential. Authentic capacity building requires a commitment to work yourself out of a job, or at least into a different one.

## *Annex G*

# **CBNRM Support Systems, Tools and Methods**

### **1. Introduction**

This annex includes an assessment of the achievements of the WWF/LIFE team and other conservancy support organizations with respect to the development of support systems, tools and methods to enable the conservancies to benefit from the sustainable utilization of wildlife and other natural resources. A number of issues, gaps and concerns about the apparent challenges faced by the national CBNRM programme over the next few years are then presented, together with a set of recommendations developed by the review team.

Particular attention is given to technical support systems and tools developed to support NRM planning. Additional details and analysis related to institutional/capacity building and training aspects can be found in annex F; annexes C and E include more analysis related to the support provided for business planning, joint ventures, community based tourism and other enterprise development activities.

### **2. Programme Achievements**

With respect to the partnership's efforts to develop support systems for CBNRM, the following impressive achievements are particularly noteworthy:

- Establishment of effective community-based wildlife protection and monitoring systems using community game guards, “environmental shepherds” and community resource monitors
- Innovative use of visualized “event books”, posters and other tools
- Early emphasis on capacity-building, empowerment and local institutional development
- Effective use of study tours and exchange visits to stimulate dialogue, capitalize on lessons learned and to promote the adaptation and adoption of CBNRM activities
- Systematic use of quarterly planning meetings to increase participation in reviews of progress and work planning
- Efficient support for mapping boundaries, compilation of resource inventory information and related GIS data
- Utilization of satellite imagery for base maps and participatory land use mapping
- Impressive level of collaboration in the organization and reporting of game counts in the Northwestern regions
- Systems developed to support translocation of game
- Organization of an enterprise/business planning/community based tourism team to assist with the negotiation of more favourable terms for joint ventures, promotion of community-based tourism enterprises and support for regional tourism planning
- Useful experience gained with the Forum for Integrated Resource Planning (FIRM) in the Khorias area (Grootburg Farmers Union/Association)

- Conceptualisation of an improved methodology for integrated development and NRM planning
- Organization of an integrated planning workshop in Kwandu Conservancy (July 2001)

For example, in the Kunene region in the Northwest and in the Caprivi region in the Northeast, IRDNC helps to organize and facilitates quarterly meetings with the conservancy committees. These meetings provide an opportunity to review progress in accomplishing planned activities, and serve as a forum to share information, promote transparency and accountability to the conservancy members, and address other critical issues related to the functioning of the conservancies<sup>40</sup>.

The entire membership is invited to participate in annual general meetings, and in the interim, communication with all conservancy members is helped through radio broadcasts and regular interactions with Community Resource Monitors and Game Guards. However, more structured and regular meetings and other procedures for sharing information and enhancing participation in conservancy affairs could help to strengthen and deepen the degree of local ownership in CBNRM activities.

In addition to quarterly review meetings, the WWF/LIFE team and conservancy program partners have worked together to develop a number of innovation and effective tools, like the visual “event books”, to support natural resource monitoring in the conservancies. Over the past year, the monitoring and information management methodology has been refined and training has been provided to make it easier for game guards and conservancy management committees to collect, record and compile credible information that can be used to inform management decisions, and to guide needed interventions by MET and other support organizations. During the field visits by the review team, each of the conservancies visited demonstrated that this system has been adopted and is helping the game guards in their work.

The emergence of a “mapping and information unit” (MIU), jointly housed at MET/DEA and NNF, has provided the technical support needed by the Conservancies to map and describe their boundaries. Without the technical support of the MIU, the conservancies would have a difficult time fulfilling one of the essential conditions for registration of a conservancy: submission to MET of a statement setting out the boundaries of the geographic area of the proposed conservancy.

IRDNC has also helped to introduce environmental education materials in local schools, and assisted with macro-level tourism development planning and zoning in the Kunene region, in collaboration with NACOBTA and WWF/LIFE.

A particularly impressive level of collaboration was achieved over the past year through the organization of a game count in the Kunene and Erongo regions. Some 13 technical specialists from WWF/LIFE, IRDNC, RISE, NNF, DEA, MET field offices, and Save the Rhino Trust worked together to assess population changes, trends and distributions of wildlife over the past

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<sup>40</sup> While these meetings do help the members of the Conservancy Management Committees to track progress in implementing annual work plans and the like, it is unclear to what extent the entire membership is briefed and made aware of decisions taken by the committee during these quarterly reviews.

several decades. The effort compared and utilized information from aerial censuses, ground counts, and organized a new series of road counts to develop a more accurate estimate of wildlife in northwest Namibia. The findings were presented to key MET and NGO stakeholders at a workshop in February 2001. As a result, the programme has been able to document the extremely positive impact of community based approaches to wildlife conservation, with dramatic increases in nearly all wildlife populations. This should enable the conservancies to obtain more easily quotas for a higher level of utilization and economic benefit.

**Table G1**

<b>Species</b>	<b>1980</b>	<b>2000</b>
Springbok	Less than 500	More than 25,000
Oryx	Less than 200	Over 15,000
Giraffe	Less than 200	More than 1,000
Hartmann's zebra	Approximately 100	Almost 8,000
Elephant	Around 225	Almost 600

### **3. Issues, Concerns, Gaps**

It is easy to underestimate the effort required to establish 14 conservancies and to support the emergence of nearly 30 more conservancies over the past 5 years. The case of Kwandu Conservancy in the Caprivi region is perhaps illustrative of the lengthy, complicated and time-consuming process that has been most often followed; it could not have been done without the consistent support of dedicated and competent field staff with support organizations like IRDNC, NNDFN, RISE, NDT, Rossing Foundation and others and the WWF/LIFE team.

- 1996—Interested community members reviewed the information in the conservancy Tool Box with ministry staff, and began to increase their awareness of the conservancy program.
- 1997—The community proceeded to define the membership of the conservancy, and over the next few years, signed up more than 1,600 adults.
- 1998—Conservancy members elected a Management Committee at their Annual General Meeting and completed the process of preparing their constitution, laying out an agreed upon resource management strategy, principles for benefit distribution.
- 1999—After more than two years of discussion and negotiation, the members reached agreement with neighbouring communities on the boundaries of the conservancy; with the assistance of the MIU, a map and boundary description was prepared.
- June 1999—In consultation with MET, the conservancy application is formally submitted and forwarded to the ministry for consideration.
- December 1999—After an internal review by MET to ensure compliance with the provisions of the conservancy legislation, the minister approves the application and the conservancy is officially gazetted.
- 2000—Conservancy Game Guards and Community Resource Monitors are employed to monitor resource use, and to educate the members about sustainable use of natural resources; building on the information gained during study tours to Zambia and Botswana as well as other capacity building and training workshops, the conservancy discuss and begin to make plans to control fire, manage fisheries resources, initiate a craft enterprise, develop a

campsite and tourism joint venture, control timber poaching and manage a community forest within their conservancy.

- July 2001—The conservancy hosts an Integrated Planning Workshop, to review their Vision and Strategy, outline a Development Plan and to take stock of the information available and needed to proceed with the preparation of more detailed Management and Implementation Plans. The Zonation Plan will serve to orient crop cultivation and grazing in areas not targeted for wildlife and tourism uses; revenue from the Game Products Trust Fund will be used to develop water sources.

The case of Kwandu Conservancy also helps to illustrate that substantial progress has been made in the establishment of conservancies, but much additional planning, capacity building and other support will need to be done to enable the conservancy to become a sustainable institution and economically viable venture. Some five years after the Kwandu community embarked on their efforts to establish a conservancy, the level of tangible benefits flowing from the sustainable use of their natural resources is still quite modest. Several years will be required to complete and follow through with the various management plans and implementation plans outlined in the conservancy development plan. These plans will need to be implemented in order to realize the conservancy's development vision, and to generate the level of income needed to offset the expenditures required to continue the various management and monitoring activities designed to ensure the sustainable use of the natural resources in the conservancy.

The Tsiseb Conservancy is illustrative of the status of more recently formed conservancies. With the assistance of RISE, Tsiseb was registered in January 2001. Assistance from RISE has enabled the conservancy to improve their skills and capabilities in the areas of committee organization, financial management and conflict resolution. Three sub-units of the conservancy meet monthly, in addition to regular meetings of the Management Committee to carry out the business of the conservancy. The conservancy is now well known to both to the community of some 1200 people, and to local authorities. The WWF/LIFE team has worked with RISE and the conservancy to initiate the use of the "event book" to assist with monitoring of resource use, that is being used by 5 game guards patrolling some 800,000 hectares. Information is being collected for the conservancy development and management plans, and a preliminary zonation map has been prepared. A campsite generates an annual income of some \$93,000, however, expenditures for salaries and other running costs are currently about \$134,000.

While much progress has been made, clearly the work of the support organizations like IRDNC, RISE, NDT and others needs to continue, if both the established and emerging conservancies are to benefit from the improved management and sustainable utilization of the wildlife and other natural resources in their conservancies. As the following table makes clear, despite the impressive progress made to date with substantial levels of funding and organizational effort, the conservancy program is just beginning to reach many important benchmarks, and the majority of the conservancies have not yet been able to fully capitalize on the potential benefits of the program (annex C).

**Table G2**

<i>Status of Progress with Selected Activities<sup>41</sup></i>	<i>Number</i>
Emerging conservancies—not yet registered	34
Conservancies with active natural resource monitoring	28
Conservancies with bank accounts	17
Conservancies with constitution in use	16
Registered and established conservancies	14
Support for crafts	14
Office established for staff and meetings	11
Campsites developed	10
Conservancies with regular, well-attended annual general meetings	10
Conservancies with democratic sub-units	8
Conservancies with over \$100,000 in annual income	5
Safari Hunting organized	5
Development plan and/or NRM plans under preparation	5
Game hunting (own use) and meat distribution underway	4
Local employment from guiding for tourism	4
Exclusive high cost joint ventures negotiated	4
Conservancies with benefit distribution plan in use	3
Natural resource management plans prepared	3
Conservancies that regularly forward NR monitoring data to relevant government agencies	1
Natural resource management plans that have been formally reviewed, approved and recognized by relevant government agencies	1
Financial self-sufficient (income covers recurrent cost expenditures)	1
Conservancies with functional performance monitoring and reporting system	0
Adaptive resource management system based on a completed management plan in place and operational	0
Integrated development plans prepared, adopted and implemented in collaboration with relevant government services	0
Access to/use of commercial credit	0

The essence of CBNRM is the development of a process and institutional capacity to support the participatory management and sustainable use of renewable natural resources at the local level. To date, the conservancy program has achieved significant progress in providing for the establishment of a legally constituted community-based organization (CBO), the conservancy, to represent the local community of resource users and stakeholders in CBNRM. Over the coming years, the program stakeholders will need to work together to ensure the continued strengthening of these CBOs as representative, democratically organized and accountable institutions that provide for equitable and transparent decision-making with regard to the use of natural resources and the distribution of benefits from NR-based enterprises. While the review team did raise a number of questions in this regard (see annexes D and F), on the whole, the early emphasis on these institutional and capacity building issues has helped to establish a foundation for CBNRM.

<sup>41</sup> For further details and supporting information, see database on the status of Communal Area Conservancies, compiled by Anna Davis, NNF (August 2001).



#### **4. The Importance of Local Development/NRM Plans in CBNRM**

A strong conservancy or CBO is a necessary but not a sufficient condition for a successful CBNRM program—capacity and systems are needed to provide for the improved management of the community's natural resources. Improved management depends on the provision of some degree of control over access to a given resource, and some measure of guidance for the use of the resource. There is a need to move from open access and uncontrolled exploitation of resources, to a situation in which common property resource management systems or alternative management systems are reinforced, agreed upon and enforceable. Communities will need to acquire the capacity to employ various planning and management tools to ensure that land and resource uses are compatible with land and resource capability, and to foster more sustainable modes of resource use, including appropriate provisions for the protection, regeneration and restoration of harvested resources. Most communities will find it helpful to bring together these various conventions concerning the use and management of natural resources into some sort of plan. These natural resource management plans, when they have been reviewed and endorsed by the relevant government agencies, can also serve to legitimise the community's NR management objectives and modes of resource use. And, most importantly, the implementation of such a local development / NRM plan can put the community on the track of reduced environmental degradation and increased resource productivity, with corresponding increases in economic, environmental, social and other benefits.

In short, to be effective and sustainable as a CBNRM activity, the development of conservancies needs to be paired with the development of local capacity to prepare and implement NRM plans. While the conservancy program of Namibia has helped to establish some 14 conservancies, the progress achieved to date in natural resource planning at the conservancy level is more mixed. Most established conservancies have not progressed beyond the initial compilation of available resource inventory information. The few management plans that have been prepared to date are not uniform in their content, format or level of technical detail. They have tended to focus on the management of wildlife resources, and been prepared largely with technical assistance from support organizations. None of the draft plans incorporate sufficient cost/benefit analysis of management options, nor do they fully integrate activities and plans related to capacity building and institutional development of the conservancy as a community-based organization.

Over the past two years, the partnership has mobilized a NRM team to address these shortcomings, and much progress has been made. The philosophy and cooperative working relationships of these individuals and organizations is to be commended. They have developed a number of innovative and well adapted tools, techniques, approaches and methods. Most importantly, there appears to have been a steady growth in the development of staff capabilities in the various support organizations working in each region in the area of NRM planning. However, the team is not yet able to meet the growing demand for technical support. With the projected phase out of WWF/LIFE technical support, the Review Team is concerned that no NACSO member has emerged as a centre of excellence and leadership in NRM planning.

While the NRM team has tried in recent years to build capacity within MET in the areas of NRM planning, the role of MET field staff and technical staff at the central directorates in the work of the partnership's NRM team has been quite limited. It is unlikely that the MET will be able to assume the technical support function in NRM planning in the foreseeable future unless:

- A CBNRM Unit is established and staffed to provide technical support and advice in response to inquiries and requests for assistance from Conservancies and other CBOs engaged in CBNRM
- Key MET staff are identified for intensive training and mentoring by the current group of NRM specialists supporting the CBNRM program
- MET arranges to provide this staff with the logistical staff required to function effectively

## **5. Integrated Planning Workshop and FIRM**

The Integrated Planning Workshop organized in July 2001 in Kwandu Conservancy reveals some of the strengths and weaknesses of the current approach. The process brought in a range of interested institutions, stakeholders and technical specialists (including DRM, local government, governor), Ministry of Lands, Farmers Union, Agriculture and Forestry. The stage is being set for making progress with “integrated” NRM. Emphasis is being placed on development a common vision and objectives, as a point of departure for thinking about development plans in key areas (enterprise and institutional development and NRM).

However, from the perspective of conservancy members, it must seem somewhat challenging—as they are thinking about and preparing to work on many aspects simultaneously: development of business enterprises, capacity building with the committee (including monitoring, training, communication, staff recruitment, fundraising, construction of an office—but not the preparation of a benefit distribution plan?) and NRM planning. In the aggregate, as a result of decisions made by the workshop participants (not all the conservancy members), their development and NRM plans are supposed to address game guards, resource monitors, zonation, joint ventures in the forest reserve, sustainable cropping, livestock, wildlife management, fish harvesting, forest products utilization, and ground water management as well as infrastructure development.

It is unclear to what extent the conservancy membership fully understands and endorses the contents of these plans, and to what extent they comply with the requirements, standards or guidelines of the MET. In a few cases, copies of the draft NRM plans have been passed along to MET and are on file with the Directorate of Parks and Wildlife Management (DPWM). However, no plans have been formally submitted to and reviewed by the Research and Planning Section of the MET/Directorate of Scientific Services (DSS). This section is responsible for the technical guidance and oversight of the preparation of all management plans for parks and protected areas.

One particular approach to conservancy-level NRM planning that shows considerable promise is the model developed with the support of the Forum for Integrated Resource Management (FIRM) in #Khoadi Hoas in the Kunene region. This model was developed with the support of several GTZ funded projects, including SARDEP and NAPCOD, in collaboration with DEA, NNF and others. It aims to integrated planning for the improved use and management of all natural resources, including range for livestock and water as well as wildlife resources. The planning process is jointly managed by the Farmers Association and the conservancy, and has served to orchestrate and coordinate the technical support provided by a range of projects and

organizations that meet regularly as a forum. But despite the promising results achieved to date and the experience gained with this model since the mid 1990s, it has not been widely replicated.

## **6. Progress in the Integration of Local Development and NRM Planning**

During the recent “visioning” exercise for NACSO and its members, it was recognized that communities manage natural resources in an integrated way<sup>42</sup>. As such, the program now aims to support the integrated management of NR as a means to increase the ultimate impact of the program. Integrated environmental management will enable local communities to promote biodiversity conservation while securing local livelihoods, empowering resource users with additional capabilities for sustainable use, and generating increased economic benefits.

During the field visits and review of conservancy constitutions, vision statements and resource management strategies, it was also clear that the conservancies would like to develop plans for integrated NRM and sustainable rural development. The interviews by the review team also confirmed the need for the conservancy program to shift from an emphasis on wildlife management, to promote a more integrated approach to environmental management.

Over the past year, a highly capable technical support team in NRM has emerged, composed of NR professionals, technical staff and field workers in the programme. Considerable progress has been made in developing tools, methodologies and systems for supporting integrated NRM at the community level. The team works to support a process of adaptive management, using available information to draft up an initial set of plans. Local-level consultation and technical support are focused on seven areas:

1. Mapping
2. NR inventory
3. Community game guards
4. Monitoring
5. Management plans
6. NR management
7. Research

This team is committed to working with conservancies to assist them in the preparation of plans which are responsive to their needs and to the requirements of the government, user friendly, concise and cost-effective to prepare and utilize, effectively linked to annual work plans, and amenable to being produced in an incremental, progressive manner, as more information becomes available and as specific management needs arise.

At this time, the team envisions working with each conservancy to produce a plan that includes the following sections:

1. Overview
2. Development Plan

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<sup>42</sup> B. Jones, J. Wahome and N. Araseb, Development of a Five-Year Strategic Vision for CBNRM in Namibia. Report of a consultancy for the Namibian Association of CBNRM Support Organizations (NACSO). July 2001.

3. Annual Management and Monitoring Activities
4. Zonation
5. Information Inventory
6. Procedures and Regulations
7. Implementation Plans

The team estimates that some 30 person weeks of technical support is needed to help a Conservancy establish its boundaries, evaluate and map land use, set up a ranger system with event books and patrols, prepare management plans, develop monitoring systems and improve NRM skills needed to implement the plans. If particular NR development activities are also envisioned and supported (such as game introductions, fencing, water development), additional technical needs to be budgeted (approximately 10 weeks). Once a system and plans are in place, the NR team would still need to provide 2–3 weeks of technical support each year, to help maintain the systems and implement the plans.

In the recent NACSO visioning exercise, the review of gaps in the support provided by the programme highlighted the need for more attention to enterprise development, business planning and associated enterprise development, as well as a broadening of skills among some of the relatively specialized support organizations. To the extent that the GRN and other stakeholders in the national CBNRM programme see conservancies as a mechanism for developing community based institutions capable of managing NR at the community level, it is vitally important that the skills and capabilities of the NR team be deepened and extended.

Given the existing and currently projected demand for NR planning services, the NR team anticipate a steadily increasing demand for their technical support services over the next several years, which would peak around 2003 and gradually taper off after 2010. At that point, assuming there is continued provision for a minimum level of technical support, the conservancy's NR systems should become sustainable. Concurrently, or in a phased approach, the partnership would need to provide technical support in the areas of organizational development and capacity building, and business planning/community based tourism planning and enterprise development. According to present estimates of the growing demand for services by emerging conservancies, the estimated need for these support services is not expected to peak until 2006. *Accordingly, the review team recommends that the programme secure funding to enable the necessary technical support teams to remain in place for another 5–10 years.*

## **7. NRM Planning: Meeting Anticipated MET Requirements**

MET requires a strategy for sustainable use to be incorporated into the constitution of every registered conservancy. This is apparently being done, as a first step. MET seems to now want a plan to confirm that the proposed offtake or harvesting of wildlife will be sustainable, as a condition of granting quotas. So, in terms of a NRM plan, what is relevant and adapted to the community needs and within their capacity to produce, with minimal dependence on outside technical support and resources? One approach would be to simply provide the conservancies with the technical expertise needed to quickly develop offtake plans for wildlife harvesting. Given the orientation of most conservancies towards more broadly conceived sustainable local development and NRM plans, we suggest that the partners consider working to support the communities in preparing:

- A listing of activities that the community agrees to undertake in the short term, to protect and conserve their resources, and to help ensure sustainable use.
- An agreed upon set of rules, to be enforced by the conservancy (with government support and backing) that would help to control access to the resources, limit or orient use, regulate harvesting and ensure regeneration.
- A schedule of follow-up NRM planning activities, to gradually and progressively increase the level of sophistication and detail included in their management plans.

A relatively basic, locally adapted, first stage management plan covering these basic elements could be prepared, vetted with all the conservancy members and formally approved and adopted by the membership within a year, and serve as the basis for further planning by the conservancy. The objective would be to engage the community in local development/NRM planning at an early stage, leading to the formal adoption of a basic plan within a relatively short period of time. Up until recently, NRM planning by conservancies seems to have been a progressive process, adapted to local circumstances. This has its advantages, in terms of fitting with limited local capacity (at the outset), limited partner support capacity, and differences among conservancy members and partners as to what is needed in a plan. However, the result is a collection of draft plans, more or less in process, that may or may not satisfy the requirements of MET and that are liable to confuse conservancy members as they struggle to deal with a diverse collection of plans.

There is an urgent need for the NACSO partners to seek agreement from MET on a reasonable template and other guidance for NRM plans (as was done for the constitution and as is also needed for Benefit Distribution Plans), before MET unilaterally imposes requirements for more sophisticated or specific NRM plans that could pose problems for the program.

It would also be highly desirable to agree with MET on a series of steps to be pursued in the development of various plans by the conservancies. A phased or step-wise approach to planning is needed, with a clearly defined series of benchmarks to be achieved. Ideally, by reaching these benchmarks in NRM planning, a conservancy would be entitled to additional specific rights. The relationship between a given level of planning and advantage, incentive or benefit is currently not well defined. Investments by the community in planning should be encouraged and rewarded by certain additional rights—much as the registration of members, adoption of a constitution and demarcation of boundaries leads to formal gazetting of the conservancy and receipt of rights to huntable game. What are the rights that can reasonably be conferred or earned as conservancies progress with NRM planning? The following possibilities could be discussed with communities and with MET in order to reach agreement on how to build in additional incentives for NRM planning into the program. For example, a community could seek to gain the following:

- expedited allocation of game hunting quotas
- preferential access to “surplus” game to be translocated from other areas
- rights to local enforcement of land use restrictions within their conservancy
- preferential access to co-investment by government in infrastructure development

## **8. Suggested Approaches for an Integrated Development Planning Process**

The team encourages the current efforts towards developing a checklist for the possible components of a conservancy *development* plan, with a considerable larger scope than a simplified NRM plan. These plans may not be formally required by the legislation, but can serve as a tool to help the conservancies plan, organize and manage activities related to the achievement of the goals of the program (in the realms of environmental conservation, economic development, and empowerment). Annual work plans (or user friendly checklists, indicating approximate time frames and assigning lead responsibilities, and estimated costs) can be derived from the Conservancy Development Plan as it evolves. The members could consult the binder with the Development Plan, but the annual workplans would be more fully communicated and carefully scrutinized at the conservancy AGM, and allow the members to assess costs and efforts associated with the various planning tasks, as they are being planned and before they commit to support the effort.

As with the recently developed approach to conservancy development and NRM planning, the conservancy development plan could be prepared in sections and evolve incrementally. But there is a need to focus more attention (and work planning) in the earliest stages of conservancy development to a range of activities not directly related to NRM planning (and perhaps somewhat neglected to date?), especially staffing, training, financial management, benefit distribution and communication—as well as a more focused approach to the first stage of NRM planning.

The first stage of CBNRM planning aspects could focus on a series of initial consultations with the community designed to reach agreement on and local ownership of basic NRM principles, the conservancy's management objectives, recognition of principle land uses, identification of anticipated benefits of investments in NRM, and clarification of principles and guidelines for the benefit distribution plan. Collectively, these consultations would help develop a strong local identity for the conservancy (perhaps including a logo, a philosophy or slogan, other distinguishing characteristics to signify local ownership). This is happening to a degree in some conservancies, but may not have been deliberately incorporated into the planning process by all support organizations in all regions.

This consultative and facilitated activity would be done concurrently with the following basic CBNRM planning activities:

1. Boundary survey (identification and posting of borders of the conservancy land area)
2. Provisions for controlling access and monitoring use within that area (recruitment of a relatively small number of community game guards and CRMs, initial training in use of events book, reporting procedures, etc.)
3. Evaluation and mapping of land use (current land use and land capability, through participatory mapping)
4. Compilation of other baseline information from initial surveys and resource assessments (incorporating local knowledge, information from socioeconomic and ecological surveys in the area and other readily available information that is determined by the community to be highly relevant to NRM planning),

5. Identification of preferred land use, and areas to promote/adopt improved NRM practices (or areas requiring special controls to limit non-sustainable use, or restoration and reclamation),
6. Listing of additional management planning activities to be undertaken by the conservancy in order to proceed with more intensive uses, such as trophy hunting concessions, etc.
7. Identification of needed training or other capacity building activities, to develop the expertise and manpower needed to support NRM activities
8. Reporting on and posting of the results of this initial stage of NR planning to the entire membership and associated partners.

After the initial planning steps have been documented, vetted with all members and local authorities and submitted to the support organizations, MET and others providing technical oversight, the conservancy would aim to have them formally adopted and approved. Ideally, this level of planning would satisfy the intent of the conservancy legislation with respect to a strategy that would commit the conservancy to ensure sustainable use of wildlife and natural resources. Perhaps MET would agree that this initial first stage management plan would also enable the conservancy to proceed with “own use” harvesting of selected game, under the supervision of local MET staff.

The next stages of CBNRM planning would entail the development of specific and more detailed resource management plans for key resources related to livelihoods and current or potential economic benefits (grazing areas, wildlife, scenic areas, water resources, cropland, fisheries, forests, etc.) It would also enable the conservancy to proceed with higher levels of game cropping in keeping with MET quotas, and to enter into concession agreements, apply for PTO for CBT investments, and so on<sup>43</sup>. More attention would be devoted to economic (cost/benefit) analysis of alternative NRM options.

These second stage CBNRM planning elements could, for example:

1. Identify specific management objectives and timeframes for steps needed to ensure sustainable use and to support the adoption of improved NRM practices in designated areas (second and more detailed level of land use planning, linked to the identification of appropriate NRM practices and other parameters for sustainable use)
2. Incorporate economic analysis of resource use and management options
3. Provide for the adoption of procedures and locally enforceable regulations to guide NR use
4. Provide more details about expanded level of communication, extension, outreach and monitoring (patrolling) to control use, promote improved NRM and manage higher or more intensive levels of resource use
5. Plan for more detailed resource inventories, as needed, to establish baselines for sustainable use
6. Provide more details about timetable and allocation of permissible levels of use, harvesting or utilization plans, terms of agreements for proposed hunting concessions, etc.
7. Include plans for regeneration, restocking or other activities designed to ensure sustained yield or increase resource productivity

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<sup>43</sup> Such as Permission To Occupy (land use permit) for community based tourism infrastructure development.

8. Provide more detailed provisions for monitoring and reporting on natural resource condition and trend (periodic game counts, provision for data collection on indicator species, additional resource inventories, etc.)
9. Development of additional plans for longer term investments, including joint ventures for camps, lodges, water points, etc.
10. More detailed and specific plans for benefit distribution

Specific plans could be prepared that focused on the essential elements required for a given activity (offtake plan for a hunting concession, PTO for a lodge, etc.) These plans would be incorporated into the overall Conservancy Development Plan and integrated into annual work planning for other activities targeted in the Development Plan (including, for example, staffing and training plans). Assistance could be provided to comply with the specific requirements of plans related to the use and improved management of other NR besides wildlife, such as forests, fisheries, water resources, cropland, pastures, etc.

In keeping with the principle of providing incentives for higher levels of management effort, progress in preparing these more detailed plans would be rewarded by conferring additional rights and benefits to the conservancy. For example:

- Rapid and constructive response to situations involving “problem animals” (and priority for intervention by the MET Problem Animal unit, if it is established)
- Expedited processing of requests for game hunting quotas, approval of trophy hunting concessions, etc.
- Authorization to harvest and sell forest products (timber and non timber forest products) under a locally managed permit system
- Authorization to establish and locally enforce “sanctuaries” or breeding areas for local fisheries, no catch periods, or other controls on fishing
- Expedited assistance from farmers union and livestock extension agents to deal with livestock health, range improvement or other farming issues
- Training and other assistance to enable conservancies to access commercial credit or other sources of financing
- Access to government funding for co-financing for water point protection, etc.

While it is recognized that traditional, detailed management plans are not appropriate and that their preparation would strain the capacity of MET, NACSO partners and conservancy members, increased investments in NR related enterprises as well as more intensive NR use do require a higher level of management. This management must be planned and organized—with the fullest possible participation by the community. Conservancy members are the best judge of the relevant level of detail, amount of information needed and reasonable level of effort that should be committed to the preparation of such plans.

Communities should be fully empowered to take responsibility for CBNRM planning and maintain ownership of the planning process. The Conservancies should be facilitated to call on technical and other support as needed, but in accord with terms that they decide upon. Technical support for CBNRM planning should be demand driven/user driven. Provision should be made for NACSO and its members to be accountable to the conservancies (through their associations



and directly) for providing the technical support needed to comply with the requirements of the policy and regulations. It would be most unfortunate if deficiencies or delays in NRM planning impeded the implementation of the conservancy policy and the achievement of the goals of the national CBNRM program.

## **9. Recommendations for Strengthening the CBNRM Planning Support Systems**

The Namibia CBNRM program can be truly demand driven and supportive of community based, participatory approaches to multiple use and integrated CBNRM, if more attention is given to the following aspects in the years ahead:

*Ensure that the planning process is led by the community and fully accountable to it through its representative committees and Conservancy sub-units, and not driven by the technical support team.* As the planning process proceeds, the community should be enabled to prioritise the provision of needed technical support services, and to set the terms of such support to contribute to the development of a community-based institution that is capable of managing the land and NR of the community. The NRM planning process can be a powerful form of leverage for the community to gain greater control over the planning process, and increased accountability from government agencies and other service providers. The end result will be local level coordination and multi-sectoral integration, in response to local needs and opportunities for improved NRM. *In this regard, the programme should closely assess, document and apply the experience gained from the FIRM model in #Khoadi //Hoas.*

*Local communities should be vested with more authority to manage budgets and resources committed to support the planning process.* In order to encourage a least cost approach to NRM planning and to ensure that local priorities are addressed, the representative structures of the Conservancy should be entrusted to manage the resources allocated for the NR planning process.

In the NRM planning process, more attention should be given to the integration of cost/benefit and other economic analysis. This analysis should be carried out as early as possible in the process. The support organizations should refrain from imposing too many costs on the conservancies at the outset, even if they are funded by grants. The communities should decide on what staff is needed and when. The support organizations should fund the activities of a local facilitator, not game guards, monitors and other staff that may be needed by the conservancy to carry out their management activities.

*Inventory information needs to fully capitalize on indigenous knowledge of natural resources and their management.* To date, the programme has tended to start the planning process by compiling the maps, GIS data (geo-referenced biophysical information primarily), species lists and other information which the NR team feels would be of use to the CBNRM planning process. In keeping with a more bottom-up, locally driven process, the NR teams should invest more effort in facilitating a process to take stock of and to document local knowledge about NR, their extent, past and current uses, traditional management practices, and the like, as a basis for the development of the NRM plans.

*Give more attention to contingency planning and conflict management.* The planning process should also take account of the impact of drought or other natural catastrophes as well as

instability and potential conflicts, and contingency plans that may be needed in such cases. The periodic use of NR within the conservancy by outsiders should also be assessed, and the conservancy encouraged to develop procedures and systems to manage potential conflicts or disputes over resource use.

*Give more attention to provisions for the sustainable use of all renewable natural resources within the conservancy.* To date, in keeping with the original orientation of the LIFE programme, the NR team has given more attention to implementation plans related to wildlife management (including game translocation/restocking, water point development, and the like). As the programme broadens its vision and scope, and supports the development of conservancies and CBNRM activities in all regions, including areas with much less potential for wildlife based enterprises and tourism, the NR planning effort should give more attention to range improvement and sustainable use of rangelands by livestock, promotion of practices consistent with more sustainable cropping systems, water resources management, more intensive management of fisheries, sustained yield management of natural forests, and promotion of agroforestry and reforestation (as appropriate, with due consideration to local needs and priorities, market access, and so on). Without a more holistic and integrated approach to CBNRM, competition over resources and conflict is more likely in the years ahead, and sustainable use will be jeopardized.

*Zonation maps need to be prepared in a participatory manner, with adequate attention to all user groups.* The mapping team needs to include someone with a social organization and gender analysis background, to ensure that less vocal groups and their access to resource are taken into account. For example, certain veld and forest products are typically collected by women in Caprivi and they could lose access to them by planning that excludes their customary uses in designated tourism areas and fails to provide alternative access.

*Field teams need to be mindful of not simply mapping “current use” in zonation maps;* these mapping exercises can be used as a tool to identify and limit non-sustainable practices, and to shift land use towards more sustainable patterns of land use, which are consistent with land capability as well as local livelihood requirements and community aspirations.

*Monitoring activities need to be sensitive to the needs and constraints of the entire community.* The policy under which CGGs and field owners in some conservancies are led to patrol fields at night excludes women-headed households, which comprise 42 percent of the population of rural East Caprivi (Ashley and LaFranchi 1997). Culturally women are not able to participate in such patrols, thus a substantial portion of the fields needing protection from problem animals are being missed. Women also report higher insecurity in being able to access forest resources when wildlife numbers are higher, and report higher damages to palm and crops. These forest resources form a key part of these households’ overall economic diversification, thus the costs/benefits to be gained from higher wildlife numbers need to be accepted by the households affected before plans include expansion of wildlife.

*Resource Monitoring Plans may need to be broadened, to track a wider range of potential threats to sustainable use.* To date, the focus of the work of the CGG, CRM or environmental shepherds have been developed in consultation with the local community. A number of “events” have been targeted and included in the monitoring effort and are recorded in event books.

Communities should be encouraged to consider the costs of collecting such information, the value of such information in maintaining income from NR based enterprises, and the relevance of such data to the improved management of their natural resources. For example, does the monitoring system track and report on incidences that may impact the quality of tourism experiences in designated areas? The system should be open to consider other types of information, such as incidences of unguided and destructive (self-drive) tourists, grazing by cattle owned by outsiders, clearing of new fields, timber poaching and the like. Provision could also be made for less frequent but regular (once a year?) surveys of other potentially relevant NR indicators (availability of fuelwood, changes in crop yields, etc.).

*The Development Plans can serve as a driver for equitable and sustainable local development if they take account of alternative livelihoods for all resource users in the community and carefully weigh the trade-offs and impact of proposed development options.* The process for the preparation of a community development plan and integrated management plan should reinforce gender equity and be elaborated and communicated in a transparent manner consistent with good governance. The development planning process needs to consider who wins or benefits, and who is liable to lose. For example, crops and livestock are the most common and the preferred source of household income in Caprivi, therefore for wildlife expansion activities, reducing wildlife damage “can make as much of a difference to livelihoods of nearby residents as assisting with new enterprise developments” (p. 73). For poor, remote, or one-head households which may not have the opportunity to have someone be employed with a conservancy enterprise, “expanding opportunities to earn small amounts of cash from sales is just as important as expanding permanent jobs. Joint venture agreements could therefore seek to maximize purchases of local goods, as well as jobs” (p. 70). “Activities focused on tree/river/veld products are just as important as wildlife-focused developments. Although the subsistence or cash gains might be small compared to wildlife activities, the benefits are more widespread (both within communities and across Caprivi), and can make a big difference to cash-strapped households” (p. 71).

*Before investments are made to carry out the Conservancy Development Plan, the conservancy needs to discuss, agree upon and document the principles that will guide the distribution of anticipated benefits.* By law, conservancies need to be committed to equitable benefit distribution as a condition of being registered. In practice, most conservancies tend to wait until incomes begin to materialize to address the practical aspects of benefit distribution. This approach is quite risky, and problems can be minimized if more effort is made to clarify and develop benefit distribution plans at the earliest possible stage in conservancy planning. The benefit distribution plan should be widely communicated among the members, and publicly posted. It can be updated and made more specific as different income streams and other benefits are generated.

*NACSO and its members need to organize a working group to consider the ways and means of promoting greater collaboration and integration between the NR team, and other teams supporting the development of conservancies.* For example, the teams aimed at promoting enterprise development and those addressing capacity building, gender equity, strengthening of financial management and performance systems, and other topics need to work together and ensure that the conservancy-led planning process serves to coordinate and integrate their various interventions and support activities.

*The sectoral technical agencies of the government (line ministries) have an opportunity to build on the successful establishment of conservancies, and to utilize them as pillars for integrated environmental management. To this end, the GRN will need to harmonize the legislation and regulations stipulating the conditions to be met to enable CBNRM across all sectors (extending beyond wildlife, to include water resources, forests, fisheries, rangelands, communal area land use planning, etc.). Procedures should be simplified and enable existing conservancies to acquire the rights for management and sustainable utilization of other NR through the integrated planning process. Each line ministry should aim to provide guidance for an appropriate degree of planning for community based management of a given NR, and enable local communities to adapt and apply the principles of NRM and sustainable use, without being held to rigid and imposed requirements for inventories, offtake plans, detailed management plans and the like.*

*In turn, the NR teams needs to facilitate collaboration between the conservancies and representatives of local line Ministries to ensure that NRM plans prepared by the conservancies are responsive to the guidance and orientation of GRN technical departments, and recognized by the relevant government agencies, including regional government and the Ministry of Lands.*

## **10. Summary of Key Recommendations**

*For MET and GRN:*

1. Establish the CBNRM Unit in MET
2. Consult with CBNRM stakeholders and agree on guidelines for management plans
3. CBNRM Unit to coordinate the review of conservancy plans and associated information sharing among the relevant directorates of MET

*For NACSO and its members, including the WWF/LIFE team:*

1. Adopt a screening tool to orient and prioritise interventions of technical support services
2. Promote greater integration of technical support teams (institutions, NRM, enterprise) in response to a locally-coordinated planning process
3. Incorporate indigenous knowledge about NRM into the planning process
4. Increase the attention given to socioeconomic analysis in development/NRM planning, and weigh trade-offs and impacts of proposed development options on local livelihoods
5. Give more attention to contingency management and conflict management in CBNRM plans
6. Accelerate the development of appropriate training materials and coordinated mobilization of efforts to transfer planning and management skills to local communities
7. Work towards a planning process that is participatory and led by the community, with priorities set through local control of the budgets for planning assistance and implementation of management plan
8. Ensure support for planning/management support teams through the period of peak demand (beyond 2006)

## *Annex H*

# **Internal Sources of Finance for the CBNRM Programme**

The material in this annex complements the discussion in the main report on sustainable funding for the CBNRM programme over the medium and longer term (Strategic Recommendation No. 10). During the Workshop to Review Findings and Recommendations of the Mid-Term Review, several participants noted the usefulness of this examination of internal sources of funding and recommended that it be brought to the attention of the NACSO membership.

### *Achievements*

- Mobilization of relatively high levels of financial support for conservancies.
- The establishment of the EIF (Environmental Investment Fund) close to completion.
- The Game Products Trust Fund functioning and benefiting conservancies.

### *Issues and Gaps*

- Staffing and other costs imposed by support organisations on conservancies.
- Demand for support services exceeds institutional capacity and available funding.
- Government financing facilities not exploited by the program fully.

## **1. Environmental Investment Fund (EIF)**

### *Sources of Revenue*

- Moneys appropriated by Parliament for the fund.
- Conservation fees to be paid by foreign tourists upon arrival or departure from Namibia.
- Levies on users of natural resources, e.g. tour operators.
- Donations from local philanthropists.
- Donations from international donor agencies.
- Interest and other revenues generated from endowments and other investments.

### *Activities To Be Funded*

- Conservation, protection and management of natural resources, conservation of biodiversity, or the maintenance of ecosystems.
- Economic improvement in the use of natural resources
- Training and education of Namibians in environmentally sustainable practices.
- Public awareness and environmental information dissemination.
- The development and implementation of environmental policies and strategies.
- Sustainable rural development.
- The management and operation of conservancies and nature reserves.

## **2. Game Products Trust Fund (GPTF)**

### *Sources of Funding*

- Concession fees in national parks

- Trophy hunting in national parks
- Selling of live animals
- Selling of ivory
- EIF (Potential source)

*Projects and Activities To Be Funded*

- Any project geared toward the reduction of human/animal conflicts, such as building of elephant dams

### **3. The GRN Development Budget**

*Sources of Funding*

- Government (MET needs to apply for this funds)

*Projects and Activities To Be Funded*

- Community-Based Natural Resource Management Program (Stakeholders to identify priority areas)

### **4. The Namibian Investment Centre**

*Sources of Funding*

- Equity capital in the form of FDI (foreign direct investment)

*Projects and Activities To Be Funded*

- Lodge joint ventures
- Tour Operators (JVs)
- Professional hunters operations (JVs)
- Other investments, such as mining, agriculture, etc.

### **5. Ministry of Trade and Industry**

*Sources of Funding*

- Ministry of Trade and Industry

*Projects and Activities To Be Funded*

- Feasibility studies and drafting of business plans
- Lodes, campsites and other projects can benefit from this funding.

### **6. Small Business Credit Guarantee Trust**

*Sources of Funding*

- Government guarantees 80%
- The entrepreneur puts up 10%
- The bank guarantees 10%
- The maximum loan available is N\$250,000

*Projects and Activities To Be Funded*

- Any bankable project proposal from any industry

**6. Microlending**

*Sources of Funding*

- Ministry of Trade and Industry
- Funding is below N\$ 20 000
- To start in 2002

*Projects and Activities To Be Funded*

- Very small community or individual projects, such as tyre repairs, sewing projects, etc.

The CBNRM programme partners need to explore and utilize all the available facilities, e.g., Ministry of Regional and Local Government and Housing (Small and Medium Enterprise Development), the cooperatives division in the Ministry of Agriculture and other donor funded projects which assist enterprise development.

## *Annex I*

# **LIFE and the RCSA-Funded Transboundary Natural Resource Management Program**

In 1995, the USAID Regional Center for Southern Africa (RCSA) began to consider the potential of collaboration among regional actors—governmental, non-governmental and communities—in the management of shared natural resources. Following a study carried out by WWF in 1999, key areas within the SADC region were identified. Chief among these was a broad area inclusive of Hwenge and Victoria Falls National Parks in Zimbabwe, Kafue in Zambia, Chobe in Botswana, and the Caprivi in Namibia. After a four-year process, the RCSA received approval for their strategic plan in December 1999. The overall Mission goal is to promote equitable, sustainable economic growth in a democratic southern Africa. As part of this strategy, the mission maintains a strategic objective of “increased regional cooperation in the management of shared resources”, with one result anticipating the adoptions of viable practices for sustainable management of shared natural resources. This result includes the establishment of a select group of transboundary natural resource management (TBNRM) areas as well as the documentation and dissemination of viable approaches for regional application. RCSA decided to begin implementation of TBNRM in two areas; the Gaza-Kruger-Gana Rizhou (GKG) areas along the Limpopo and the 4-Corners Area of which the Caprivi forms a part. Development Alternatives Inc. is implementing the GKG activity, while African Wildlife Foundation (AWF) is implementing the 4-Corners activity.

The AWF-led program aims to achieve the results called for in the RCSA strategic plan through adopting a two-pronged approach building upon its expertise in landscape management and the promotion of a climate favourable to regional tourism. Though still in draft form, the AWF 4-Corners program description outlines four components, each with a series of results (AWF 2001):

- Collaborative TBNRM conservation improved
  - Conservation planning processes at TBNRM level initiated, facilitated and strategies implemented and monitored;
  - Conservation planning processes at site specific levels initiated, facilitated and strategies implemented and monitored;
  - Tourism and environmental planning at scale of TBNRM and specific sites linked; and
  - Understanding of conservation status of TBNRM and specific sites improved and used in planning.
- TBNRM enterprise environment improved
  - Existing community private partnerships in TBNRM analysed and optimal conditions assessed;
  - Potential for new community private partnerships in TBNRM assessed; and
  - Community private partnership tourism plans for area and site specific levels developed and new partnerships initiated.



- Policy and institutional environment designed and operational
  - Inter-ministerial and technical committees for 4-corners established and functional;
  - Working groups for wildlife, water and enterprise development established and functional; and
  - Site-specific working groups established and functional.
- TBNRM collaborators informed and knowledgeable
  - Database of TBNRM stakeholders and activities established and maintained; and
  - Information centre services all stakeholders including tourists.

In addition to activities carried out specifically by AWF, LIFE received US\$1 million to carry out site-specific activities in the Caprivi. A meeting among Namibian collaborators was held to outline key recommendations for collaboration with the 4-Corners activity. The Namibian stakeholders recommended that AWF recognize the vested interests of the Namibian institutions active in the Caprivi and that a steering and coordination mechanism be developed at the level of the project and specific sites. The group identified a need to streamline communication and coordination of TBNRM activities between AWF and the Namibian stakeholders through a formal agreement between WWF and AWF. A series of activity areas and lead Namibian institutions was developed to promote transboundary management through the Caprivi in the areas of training, natural resource product marketing, tourism planning and marketing, TBNRM research, TBNRM activities, transboundary planning and facilitation, regional exchange visits, and project steering and coordination.

This coordination meeting was particularly important since the TBNRM program has been perceived by local governmental and non-governmental interests as having been developed without sufficient consultation in Namibia and that its aims and programs have not been sufficiently communicated to national stakeholders. Nevertheless, TBNRM training activities in landscape planning have taken place with significant Namibian participation.

The TBNRM grant to the LIFE program is important in terms of enabling LIFE's contribution to the TBNRM effort. However, funds have been used primarily to broaden the Namibian coverage of the LIFE program rather than undertake new activities within the Caprivi in support of transboundary natural resource management.

## **Conclusions**

The consideration of transboundary issues and opportunities in regards to the LIFE Program reflects both toward the LIFE Program itself and toward the TBNRM concept. Clearly both programs have considerable opportunity for mutual benefit and when one considers the overall trend in the region, no one national CBNRM program may exist in isolation from those of its neighbours. In order to best draw conclusions from the linkage between LIFE and TBNRM, however, it is necessary to differentiate the concept of transboundary management activities from the USAID-sponsored TBNRM program.

The project team pointed to numerous instances where there was a demand for transboundary management of resources and LIFE involvement. In particular, there have been requests from

Botswana for capacity support by CBOs in the Chobe Enclave as well as discussions on transboundary management of fisheries. WWF, FAO, NORAD and USAID funded a two-day workshop on the co-management of fresh water resources in the Okavango and Zambezi river systems (WWF 2000).

The USAID-funded Transboundary Natural Resources Management Program represents an effort by a regional entity to generate a program with national impacts. The dialogue thus far has focused on general issues, policies and the promotion of approaches in broad rather than specific terms. In order for the 4-Corners activity to have impact in the Caprivi, as well as surrounding countries, the implementers must effectively communicate the program to governmental and non-governmental actors. Further, the transboundary efforts must recognize that considerable progress has been achieved by local organizations without and prior to the 4-Corners activity.

#### *Strengths*

- LIFE has a robust set of partners that can provide essential technical assistance in the TBNRM activity. To a large extent, the 4-Corners Activity needs the collaboration of the LIFE program more than the reverse.
- The 4-Corners activity can bring regional skills and resources to bear on issues affecting the LIFE Program, particularly those requiring international collaboration.

#### *Weaknesses*

- LIFE and the national CBNRM program are already burdened by the need to develop key capacity and human resources while simultaneously meeting a burgeoning demand among conservancies in Namibia. To expand beyond the borders of Namibia has a high likelihood of overstressing these resources to the detriment of Namibian communities who depend upon the LIFE Program.
- The late stage of implementation of the 4-Corners activity, with two years remaining in the life of the current phase of the 4-Corners program, may limit the contribution that it makes to LIFE Program progress both in local and international terms.

#### *Opportunities*

- Maintenance of ecological integrity among the key resources found in areas surrounding the Caprivi is essential for the long-term viability of wildlife-based tourism in the region.
- The economies of scale from strengthening regional tourism can only benefit all surrounding areas and the inclusion of Namibian communities in this will add to the economic benefits received.
- To the extent that the TBNRM program encourages the exchange of CBNRM experiences, the 4-Corners program can help to buttress success achieved through its predecessor NRMP.

#### *Threats*

- Internal political tensions in the region, if left unchecked, will have a negative effect on tourism and, should the rule of law decay, may result in significant losses in biodiversity, a decline or disappearance of tourism revenues, and potentially detrimental population movements.
- The establishment of a highly funded activity by a relative newcomer organization to the region may result in locally grown efforts being overrun by outside initiatives. This is

particularly the case in which local conservancies or communities may be promised resources that LIFE had not been willing to make available. In the case where competition outstrips collaboration among programs, the communities would be the ultimate loser.

#### *Recommendations*

- USAID needs to strengthen its official liaison with GRN on TBNRM. Though this is essentially the responsibility of the RCSA, it should not be ignored by the Namibian Mission.
- TBNRM program must maintain local initiatives and actors already in place. Considerable progress has been achieved in an organic manner. The 4-Corners Activity should make every effort to avoid the perception or the occurrence of competition with the national program.
- Close collaboration is necessary to prevent dilution or duplication of effort. An initial memorandum of understanding has been drafted. This understanding should be reviewed periodically and communication systems established in order to avoid duplication of effort.

*Annex J*  
**Workshop to Review Findings and Recommendations of the  
Mid-Term Review Team**

*Rossing Foundation*

*August 16, 2001*

**Workshop Schedule**

Welcome	Carol Culler, USAID Patricia Skyer, NACSO
Introduction of Participants	
Workshop Objectives	George Taylor
Review Team Presentations	Brian Child
1. The Conservancies Discussion	
2. The National CBNRM Programme: Policy Discussion	Bob Winterbottom
Review Recommendations/Discussion of Priorities and Action Responsibilities	
3. The National CBNRM Programme: Overview and NACSO Discussion	George Taylor
<i>Break 1000–1030</i>	
4. The National CBNRM Programme: Support Institutions Discussion	Kara Page
5. The National CBNRM Programme: Economics Discussion	Brian Child
6. The National CBNRM Programme: Support Systems, Tools and Methods Discussion	Bob Winterbottom
7. The National CBNRM Programme: Funding Discussion	Klemens/Awarab

8. The National CBNRM Programme: USAID  
support, GEF support etc.  
Discussion

Review Team

*Lunch 1300–1400*

Review Recommendations/Discussion of  
Priorities and Action Responsibilities

Review Team  
and Participants

Wrap-Up and Next Steps

George Taylor

Closing Comments

Carol Culler/Patricia Skyer

### **Workshop Participants**

Patricia Skyer	NACSO Secretariat
Andrew Long	DEA/MET
Jon Barnes	DEA/MET
Helen Snich	DEA/MET
Linda Baker	DEA/MET
Andrew Long	DEA/MET (WILD)
Carol Murphy	DEA/MET (WILD)
John Hazam	DPWM/MET
Norman Tjombe	LAC
Mathilda Dempers	NDT
Wendy Viall	NNDF
Maxi Louis	NACOBTA
Michael Jimmy	NACOBTA
Chris Brown	NNF
Anna Davis	NNF
Alfons Mosimane	UNAM/MRCC
Len LeRoux	Rossing Foundation
Margaret Jacobsohn	IRDNC
Lynn Halstead	IRDNC
Colin Nott	IRDNC
Jacky Gaingob	RISE
Sima Luipert	RISE
Brian Jones	Consultant
Karl Aribeb	Private
Chris Weaver	WWF/LIFE
Kandukira Da Costa	WWF/LIFE
Roger Collinson	WWF/LIFE
Andee Davidson	WWF/LIFE
Usiel Ndjavera	WWF/LIFE
Greg Stuart-Hill	WWF/LIFE

Russell Taylor	WWF/SARPO
Carol Culler	USAID
Chris Warner	World Bank
Klemens/Awarab	Review Team
Brian Child	Review Team
Kara Page	Review Team
George Taylor	Review Team
Bob Winterbottom	Review Team

## **Priorities Recommended by Workshop Participants**

### *Business/Enterprise*

- Joint Venture development and business development in NACSO. Contract Business Advisor to assist in business development planning. Identify priority areas within conservancies for implementation (2)
- Development of business skills
- Shift to greater emphasis on financial viability
- Promote financially-based integrated development planning (3)
- Promote business based integrated development planning and benefit distribution

### *Institutions/Institutional Arrangements*

- Accelerate establishment of the CBNRM Unit (6)
- Promote integration of technical support teams (NRM, enterprise, institutions) in response to locally coordinated planning (2)
- Strengthen NACSO Secretariat and support key Working Groups
- Leadership, innovation and adaptive program management and development
- Empower institutions that lack skills before LIFE phases out
- Develop HIV/AIDS strategy
- Invest in lessons learned (documentation)

### *Conservancies*

- Devolve/empower village level; institutionalise democratic process (11)
- Policy/integrated NRM driven through conservancy associations (2)
- Planning process led by community
- Planning budget controlled locally
- Planning—integrated development planning
- Get away from joint ventures

### *Policy*

- Strengthen policies to give conservancies true authority over NRM plans, tourism, etc. (3)
- Strengthen policies to affirm mandate and authority of conservancies and other CBOs to locally coordinate and implement integrated NRM (3)
- Find a way to involve MET and other GRN Ministries in CBNRM
- Track and support harmonization of sectoral policies related to CBNRM

- Address gaps in community-based tourism policy implementation and legislation to secure greater rights and benefits for local communities
- Develop strategy to develop all 7 policy recommendations—crucial

*Natural Resource Management*

- Need to broaden NRM scope to integrate all natural resources
- Ensure support for NRM Team and other support/planning systems through the peak period (beyond 2003)

*Annex K*  
**People Contacted**

**Washington, DC**

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Peggy Tutalife, Mashu Crafts Coordinator, IRDNC  
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### **Kunene/Erongo Regions**

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Alan Hendry and Gesa, Ugab Camp Managers, Tsiseb Conservancy  
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Benny Roman, Coordinator, IRDNC-Kunene and Treasurer, Torra Conservancy  
Eric Xaweb, Coordinator, Tsiseb Conservancy  
Elias Xoagub, Conservancy Chairman/PTO Owner, Uibasen Conservancy

**Nyae Nyae Conservancy**

Dries Alberts, MET Officer  
Kivit, Conservancy Chairman  
Kxao Moses, Coordinator/Public Relations Officer  
Tsum Kxao Moses, Financial Manager  
Kallie, Crafts Manager  
Kaliki, Committee Member  
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## Annex L

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